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United States Navy Contracting Officer Warranting Process

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March 2011**

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**UNITED STATES NAVY
CONTRACTING OFFICER WARRANTING PROCESS**

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Submitted in partial fulfillment of the
requirements for the degree of

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UNITED STATES NAVY CONTRACTING OFFICER WARRANTING PROCESS

ABSTRACT

The purpose of this project was to investigate how Navy contracting activities warrant the contracting officers under their purview. The FAR and DAWIA establishes minimum training, education, and experience requirements for federal contracting officers. However, most commands implement supplementary requirements. Additionally, we wanted to discover the basis for the selection criteria utilized. The goal was to discover the general, “unwritten” requirements for Navy warranting, and whether the process created inconsistencies in the contracting workforce. We expected to find that all commands set different internal procedures for warranting above DAWIA minimums. Furthermore, we expected to find ad hoc processes tailored to the organization’s mission and to the individual Appointing Official.

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TABLE OF CONTENTS

I.	INTRODUCTION.....	1
A.	BACKGROUND	1
B.	PURPOSE.....	2
C.	RESEARCH QUESTIONS	2
D.	SCOPE	3
E.	METHODOLOGY	3
F.	ORGANIZATION OF STUDY	3
G.	SUMMARY	4
II.	LITERATURE REVIEW	5
A.	GOVERNMENT CONTRACTING.....	5
1.	The Contracting Officer	6
2.	The Appointing Official.....	7
3.	Contracting Warrant.....	7
B.	GOVERNMENT WARRANTING REQUIREMENTS	8
C.	DEFENSE ACQUISITION WORKFORCE IMPROVEMENT ACT (DAWIA).....	8
D.	FEDERAL ACQUISITION REGULATION (FAR).....	10
E.	DEFENSE FEDERAL ACQUISITION REGULATION SUPPLEMENT	12
F.	DEPARTMENT OF DEFENSE (DOD) WARRANTED CO-PROCEDURES	12
G.	AGENCY CONTRACTING OFFICER WARRANTING PROCEDURES.....	14
1.	Commander, Fleet, and Industrial Supply Centers (COMFISCS).....	15
2.	Space and Naval Warfare Systems Command (SPAWAR).....	16
a.	<i>Selection</i>	<i>16</i>
b.	<i>Appointment</i>	<i>17</i>
c.	<i>Termination</i>	<i>17</i>
3.	Naval Air Systems Command (NAVAIR)	18
a.	<i>Delegation of Authority</i>	<i>18</i>
b.	<i>Selection Requirements.....</i>	<i>18</i>
c.	<i>Authority.....</i>	<i>19</i>
d.	<i>Termination</i>	<i>20</i>
4.	Naval Sea Systems Command (NAVSEA).....	20
H.	CONTRACT MANAGEMENT JOURNAL	21
1.	Certification: What It Is and What It Isn't.....	21
2.	Professionalism in Contracting.....	22
I.	AN EVALUATION OF THE REQUIREMENTS FOR QUALIFICATION AND WARRANTING OF ADMINISTRATIVE CONTRACTING OFFICERS	23
1.	Overview	23

2.	Findings.....	24
J.	REPORT OF THE COMMISSION ON ARMY ACQUISITION AND PROGRAM MANAGEMENT IN EXPEDITIONARY OPERATIONS (GANSLER COMMISSION REPORT)	24
K.	SUMMARY	26
III.	RESEARCH METHODOLOGY	27
A.	SURVEY CONSTRUCTION	27
B.	THE SURVEY.....	28
1.	Part I – Demographics.....	29
2.	Part II – Contracting Experience	30
3.	Part III – Courses for Contracting and Acquisition Personnel.....	30
4.	Part IV – Contracting Officer Selection Criteria.....	31
5.	Part V – Recommended Standards	31
C.	THE UNIVERSE	31
1.	The Population	32
2.	Sample.....	32
D.	DATA COLLECTION PROCEDURE.....	33
E.	ANALYSIS OF THE DATA	33
F.	LIST OF ASSUMPTIONS	33
G.	LIST OF LIMITATIONS	33
H.	SUMMARY	33
IV.	FINDINGS.....	35
A.	SURVEY RESPONSE	35
B.	RESEARCH QUESTIONS.....	37
1.	What Are the Warranting Requirements for COMFISCS, NAVAIR, NAVSEA, and SPAWAR?	37
2.	Do Warranting Requirements Differ Greatly? If So, What Are Some Reasons for the Difference?	40
a.	<i>Experience</i>	42
b.	<i>Education</i>	45
c.	<i>Training</i>	48
3.	Does the Differentiation Lead to Gaps in Contracting Officer Knowledge?	54
a.	<i>Recommendations</i>	56
4.	Do Appointing Officials Feel the Warranting Procedures Adequately Prepare Contracting Officers?.....	56
a.	<i>Recommendations</i>	58
5.	Are There Recommended Improvements to Warranting Procedures?	58
C.	SUMMARY	59
V.	CONCLUSION AND RECOMMENDATIONS.....	61
A.	RESEARCH SUMMARY	61
1.	What Are the Warranting Requirements for COMFISCS, NAVAIR, NAVSEA, and SPAWAR?	61

2.	Do Warranting Requirements Differ Greatly? If So, How Do They Differ?.....	62
3.	Do Contracting Officers Feel the Warranting Procedure Leaves Gaps in Their Knowledge?.....	62
4.	Do Appointing Officials Feel the Warranting Procedures Adequately Prepare Contracting Officers?.....	63
5.	Are There Recommended Improvements to Warranting Procedures?	63
B.	CONCLUSION	63
C.	AREAS OF FURTHER RESEARCH.....	64
APPENDIX A. DAU CERTIFICATION STANDARDS		67
APPENDIX B. COMFISCS WARRANT LEVEL MATRIX AND WARRANTING PROCESS		77
APPENDIX C. NAVAIR CLASSES OF CONTRACTING OFFICER AUTHORITY		83
APPENDIX D. TASK GROUP SIX’S MODEL SYSTEM.....		85
ATTACHMENT 1		91
APPENDIX E. APPOINTING OFFICIAL SURVEY RESULTS		105
APPENDIX F. CONTRACTING OFFICER SURVEY RESULTS		121
LIST OF REFERENCES		141
INITIAL DISTRIBUTION LIST		145

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LIST OF FIGURES

Figure 1.	Organization Break-Down	36
Figure 2.	Interview requirements for warranting	38
Figure 3.	Primary selection criteria	39
Figure 4.	Inherited warrants	39
Figure 5.	Contracting Officer Classification	40
Figure 6.	The highest dollar value for a single contract for which you are presently the Contracting Officer is in which range?	41
Figure 7.	How many years of experience do you have in your field?	42
Figure 8.	What was your experience level when you were selected for your warrant or position?	43
Figure 9.	What should be the minimum number of years of contracting experience someone should have before being selected as a Contracting Officer?	44
Figure 10.	How important is EXPERIENCE as a qualification criteria for selection of a Warranted Contracting Officer	44
Figure 11.	What was your educational level when you received your current warrant or position?	45
Figure 12.	How important is undergraduate study in business or contracting related course work as a factor in selecting contracting officers?	46
Figure 13.	How important is graduate study in business or contracting related course work as a factor for selecting contracting officers?	47
Figure 14.	Importance of business or contracting related undergraduate work to warranting	48
Figure 15.	Beneficial courses of study for warranting	48
Figure 16.	Applicability of DAU courses to current position	50
Figure 17.	How important is TRAINING to warranting?	51
Figure 18.	How important is prior TRAINING as a qualification criterion for selecting contracting officers?	52
Figure 19.	Applicability of DAU course to positions within your the organization	53
Figure 20.	Negative Responses to CO Survey Question 25 vs. Experience, Training, and Education Value to Warranting	55
Figure 21.	Positive Responses to CO Survey Question 25 vs. Experience, Training, and Education Value to Warranting	55
Figure 22.	Training importance at SPAWAR	57
Figure 23.	Undergraduate education importance at COMFISCS	58
Figure 24.	Graphic Representation of Question 19 Answers	113
Figure 25.	Graphic Representation of Question 31 Answers	118
Figure 26.	Graphic Representation of Question 4 Responses	122
Figure 27.	Graphic Representation of Question 18 Responses	133

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LIST OF TABLES

Table 1.	1102 Occupational Series, Similar Military Positions and Contracting Officer Position Requirements from DoDI 5000.66.....	14
Table 2.	CO Survey Question 25	54
Table 3.	AO Survey Question 24	56
Table 4.	Certification Standards & Core Plus Development Guide Contracting Level 1 from DAU, http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=1&cflid=3	67
Table 5.	Certification Standards & Core Plus Development Guide Contracting Level 2 from DAU, http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=2&cflid=3	70
Table 6.	Certification Standards & Core Plus Development Guide Contracting Level 3 from DAU, http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=3&cflid=3	74
Table 7.	COMFISCS Standard Warrant Levels Matrix from Source: Commander, Fleet Industrial Supply Centers (COMFISCS). (2008, January). <i>COMFISCS Standard Warranting Procedures</i>	77
Table 8.	COMFISCS Warranting Procedure from Source: Commander, Fleet Industrial Supply Centers (COMFISCS). (2008, January). <i>COMFISCS Standard Warranting Procedures</i>	79

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LIST OF ACRONYMS AND ABBREVIATIONS

ACC	Assistant Commander for Contracts
AO	Appointing Official
ASN(RD&A)	Assistant Secretary of the Navy for Research, Development, and Acquisition
CAE	Component Acquisition Executive
CO	Contracting Officer
COMFISCS	Commander, Fleet Industrial Supply Centers
CL	Continuous Learning
COMNAVAIRSYSCOM	Commander, Naval Air Systems Command
DACC	Deputy Assistant Commander for Contracts
DACM	Director, Acquisition Career Management
DAU	Defense Acquisition University
DAWIA	Defense Acquisition Workforce Improvement Act
DoD	Department of Defense
DoDI	Department of Defense Instruction
DoN	Department of the Navy
DFARS	Defense Federal Acquisition Regulation Supplement
FAR	Federal Acquisition Regulation
FSS	Federal Supply Schedule
GS	General Schedule
HCA	Head of Contracting Activity
KLP	Key Leadership Positions
LCE	Lead Contracting Executive
NAVAIR	Naval Air Systems Command
NAVSEA	Naval Sea Systems Command
NCMA	Nation Contract Management Association
NMCARS	Navy and Marine Corps Acquisition Regulation Supplement
OFPP	Office of Federal Procurement Policy
OMB	Office of Management and Budget

SAP	Simplified Acquisition Procedure
SECDEF	Secretary of Defense
SES	Senior Executive Service
SPAWAR	Space and Naval Warfare Systems Command (also SPAWARSYSCOM)
USAF	United States Air Force
USC	United States Code
USD(AT&L)	Undersecretary of Defense (Acquisition, Technology, and Logistics)

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I. INTRODUCTION

This chapter presents the purpose, research questions, and methodology for a comparative analysis of contracting officer (CO) warranting procedures in major Navy acquisition commands. Finally, the scope and report organization are discussed.

A. BACKGROUND

The federal acquisition community is constantly embroiled in controversy and subsequently, in close scrutiny by Congress and the press. From Darleen Druyun¹ to AEY², the Department of Defense (DoD) and the American taxpayer have been repeatedly asked to bear unnecessary financial risk because acquisition professionals are not performing their jobs with the due diligence required.

In November 1990, the Defense Acquisition Workforce Improvement Act (DAWIA) was signed into law. DAWIA is the bedrock for DoD contracting professional training and education requirements. The Federal Acquisition Regulation (FAR), in subpart 1.603.1, refers to the Office of Federal Procurement Policy (OFPP) policy letter 05-01. OFPP policy letter 05-01 applies to all agencies “except those subject to DAWIA.” Policy letter 05-01 proceeds to outline the minimum requirements for qualification for all non-DoD members of the acquisition workforce in the federal government. Even though OFPP specifies these policies do not apply to DAWIA compliant agencies, it uses DAWIA as its foundation to improve federal acquisitions. DAWIA, the FAR, and OFPP policy letter 05-01 all provide the minimum a prospective

¹ Darleen Druyun was the number two weapons buyer for the Air Force and become involved in scandal with Boeing involving the leasing of a new fleet of C-130 tanker aircraft. Ms. Druyun was found to have negotiated a job for herself and protected her daughter’s job at Boeing. She was sentenced to nine months in prison. The Air Force still has not been able to successfully negotiate a tanker contract. (Wayne, 2004)

² April 3, 2008, Defense Industry Daily ran a story about AEY, who was contracted to supply ammunition to Afghanistan’s army and police force. In March 2008, the Army expressed concern about AEY’s violation of contract terms, specifically: “ammunition could not be acquired directly or indirectly from the People’s Republic of China, and...that it must be packaged to comply with best commercial practices for international shipment.” AEY was listed as small business with the Small Business Office. Army contracting officers were suspected of not verifying the small business status and not asking how AEY would be obtaining the ammunition. (“AEY’s Ammunition: Ain’t an April Fools, Alas,” 2008)

CO must attain within the realms of training, education, and experience to become warranted. As with any DoD policy, the subordinate commands may make the process more stringent. The converse is not allowed.

B. PURPOSE

The purpose of this study is to provide a comparative analysis of different Navy contracting activities' warranting procedures. Additionally, it examines the perceived/actual knowledge gaps, if any, that the current warranting process produces. This research attempts to provide the Navy acquisition community with recommendations for standardized warranting processes within the DAWIA framework.

C. RESEARCH QUESTIONS

Throughout the Navy, different commands maintain different qualification processes for similar functional positions. Whether it is the actual process, the steps a participant must take to attain qualification, or the knowledge focus area they must have prior to certification, very few qualification standards are uniform. These differences hold true when we shift from watch standing to the acquisition community. All commands require the DAWIA minimums to be fulfilled, but some may impose requirements above and beyond the minimums. Some commands may require three oral boards and successful completion of a written examination prior to warranting, while others may give a warrant simply because of the position being filled, with no additional requirement (beyond DAWIA minimums). To address these perceptions, this research seeks to answer the following questions:

1. What are the warranting requirements for COMFISCS, NAVAIR, NAVSEA, and SPAWAR?
2. Do warranting requirements differ greatly? If so, how do they differ?
3. Do contracting officers feel the warranting procedure leaves gaps in their knowledge?
4. Do appointing officials feel the warranting procedures adequately prepare contracting officers?
5. Are there recommended improvements to warranting procedures?

D. SCOPE

This study pertains to CO warranting procedures within Navy contracting activities. Specifically, it investigates the procedures that are in excess of DAWIA requirements. This study is limited to the four major Navy contracting activities: COMFISCS, NAVAIR, NAVSEA, and SPAWAR.

E. METHODOLOGY

This study will be conducted in four stages. The first stage consists of a literature review. The researchers reviewed prior academic writings relevant to the topic, the applicable instructions for each of the contracting activities, and an in-depth review of DAWIA requirements for the different contracting levels. The next stage involves developing and distributing surveys to contracting officers and the appointing officials within COMFISCS, NAVAIR, NAVSEA, and SPAWAR. The survey used was based upon an earlier survey developed by Earl Ficken, Jr, Captain, USAF and Wendy Motlong, First Lieutenant, USAF (1984) for their master's thesis. This thesis will be discussed in more detail in Chapter II. The survey was used to solicit responses from COs and their appointing officials. Additionally, space on the survey was made available for COs and their appointing officials to include comments and recommendations for warranting process improvement. Stage three is the collection of the surveys and the analysis of the data obtained. The final stage involves interpreting the results of the data and providing recommendations for standardizing the Navy's warranting process.

F. ORGANIZATION OF STUDY

This study is comprised of five chapters.

Chapter I – Introduction. This chapter provides background, research questions, scope, methodology, and other introductory items.

Chapter II – Literature Review. This chapter provides an examination of the available writings in the area of the study. Documents the researchers reviewed include each activity's certification instructions, the Department of the Navy DAWIA Operating Guide, and all applicable reference instructions.

Chapter III – Methodology. This chapter discusses the method the research used to gather data and the development and reasoning behind the utilized method.

Chapter IV – Findings. This chapter provides an analysis of the information gathered from the study.

Chapter V – Conclusions and Recommendations. This chapter provides the conclusions the data from the study supports and the recommendations for Navy contracting officer warranting that can be drawn from the conclusions.

G. SUMMARY

This chapter provided an overview of the body of research contained in the subsequent pages. It provided the research questions, the scope, and methodology of the research. Finally, it provided a general outline of the paper.

The next chapter will discuss details on the documents the researchers reviewed to gain base knowledge in the area. The documents reviewed for this research are, for the most part, statutes and instructions pertaining to contracting officer qualification. Additionally, the researchers reviewed articles from *Contract Management*, the contracting community's trade journal. Finally, the researchers reviewed a 1984 thesis by Captain Ficken and First Lieutenant Motlong that asked similar questions of the contracting community before the implementation of DAWIA.

II. LITERATURE REVIEW

“The government needs talented and trained individuals who can develop, manage, and oversee acquisition projects in accordance with sound acquisition management principles” (DAOMB, 2009). Additionally, these individuals must be able to competently perform these tasks.

This chapter provides a synopsis of the documents assessed for this research. Most of the information used for this research comes directly from federal law, specifically Title 10 U.S.C. Chapter 87, Defense Acquisition Workforce. The remaining information was gathered from Department of Defense, Department of the Navy, and individual command instructions. The researchers also reviewed *Contract Management* articles. *Contract Management* is a monthly journal published by the National Contract Management Association (NCMA). This is a contracting community trade journal. Then, the researchers reviewed one master’s Thesis by Captain Earl Ficken and First Lieutenant Wendy Motlong. Finally, the report of the Commission on Army Acquisition and Program Management in Expeditionary Operations (the Gansler Report) was reviewed.

A. GOVERNMENT CONTRACTING

Government contracting involves the expenditure of public funds and, as such, it requires a great deal of transparency and accountability. The authority to enter into contracts begins with the authority given to the federal government through the United States Constitution (U.S. Const. art. I, § 8). All three branches of the government have a role. Congress passes legislation that defines the process and additional legislation that provides the funds. The executive branch, through all of the various agencies, then enters into the contracts and expends the funds to achieve their defined mission. When disputes arise, there are administrative processes that can be used within the agencies to resolve them, or the contractor can appeal to the courts. The Contracting Officer is the appointed executive branch agent responsible for all aspects of a government contract.

1. The Contracting Officer

The Federal Acquisition Regulation (FAR) states that “unless specifically prohibited by another provision of law, authority and responsibility to contract for authorized supplies and services are vested in the agency head” (GSA, subpart 1.601, 2010), for example, the Secretary of Defense. Agency heads delegate their authority to Contracting Officers, who either hold their authority by virtue of their position or must be appointed in accordance with procedures set forth in the FAR.

A CO is the only person specifically authorized to enter into, administer, terminate a contract, and make related determinations and findings on behalf of the government. Contracting officers may bind the Government only to the extent of the authority delegated to them.

Contracting officer’s responsibilities include: ensuring performance of all necessary actions for effective contracting, ensuring compliance with the terms of the contract, and safeguarding the interests of the United States in its contractual relationships. To perform these responsibilities, COs must exercise excellent business judgment. According to the FAR, Contracting Officers shall:

- a. Ensure that the requirements of 1.602-1(b) have been met, and that sufficient funds are available for obligation;
- b. Ensure that contractors receive impartial, fair, and equitable treatment; and
- c. Request and consider the advice of specialists in audit, law, engineering, information security, transportation, and other fields, as appropriate. (GSA, subpart 1.602-2, 2010)

Not all COs are created equal. Contracting officers have different contracting thresholds and varying degrees of experience and capabilities. Each one has a specific warrant that states the conditions under which they are permitted to engage in federal contracting. Depending on the contracting activity, some contracting officers may have no experience whatsoever with the product, service or requirements in question or knowledge of the potential vendor base, representing a weakness on the part of the government procurement process.

2. The Appointing Official

Title 41 (Public Contracts) requires the agency heads to develop and maintain a system for appointing and terminating contracting officers (41 *USC* § 414(b)(7)(B), 2007). The requirement for agency heads to develop and maintain this system is reiterated in FAR subpart 1.603-1 (2010) and is implemented within the Department of Defense (DoD) by the Defense Federal Acquisition Regulation Supplement (DFARS) by making no additional comments. The Navy and Marine Corps Acquisition Regulation Supplement (NMCARS) further specifies the delegation of appointment authority in subpart 5201.603-1 (2010). “HCA [Head of Contracting Activity] are the agency head’s designees for the selection and appointment of contracting officers, and for the termination of their appointments” (NMCARS, 2008).

The appointing official is the person in the contracting chain of authority that approves the perspective CO’s warrant and sets the limits of the CO’s contracting authority. Within the Naval services, the appointing official is the HCA.

3. Contracting Warrant

Contracting officers shall receive from the appointing authority clear instructions in writing regarding the limits of their authority. A CO has only the authority delegated pursuant to law and agency procedures. This authority is set forth in the Contracting Officer’s certificate of appointment (warrant). “Contracting Officer warrants expressly state dollar thresholds up to which the warranted Contracting Officer may sign on behalf of the Government. A warranted Contracting Officer may execute contracts only up to the amount for which they are warranted, applicable to the whole contract value” (USMCCMPG, 2010). An individual is awarded a warrant when selected and appointed as a Contracting Officer.

B. GOVERNMENT WARRANTING REQUIREMENTS

When it pertains to warranting of Contracting Officers, there are three main sources of regulation: the Defense Acquisitions Workforce Improvement Act, the Federal Acquisitions Regulations (FAR), and the Defense Federal Acquisitions Regulations Supplement (DFARS).

Agencies supplement upon these regulations when creating policy for warranting Contracting Officers within their area of responsibilities. The following is the baseline regulations as detailed by law pertaining the selection and appointment as a warranted Contracting Officer.

C. DEFENSE ACQUISITION WORKFORCE IMPROVEMENT ACT (DAWIA)

From the second Hoover Commission,³ to the Grace Commission,⁴ and the Packard Commission,⁵ acquisition reform and cost savings have been at the forefront of almost every presidential administration. The Hoover and Grace Commissions' improvement recommendations were strictly procedural. It was not until the Reagan Administration and the Packard Commission that any thought was given to professionalizing the acquisition community to reduce cost overruns, schedule slips, and faulty equipment received by the government by increasing the education and training the contracting workforce personnel received.

3 Also known as the Commission on Organization of the Executive Branch of Government. This Commission found that the military departments wasted resources (time, money, and manpower) through having individual supply systems. The Commission judged that a substantial amount of capital could be saved if a single, civilian run organization was created. (Hewes, 1975).

4 Also known as the Private Sector Survey on Cost Control. This Commission found significant monetary savings could be realized if commercial business practices were implemented throughout the Federal government, not just DoD. (Sweeney, et al., 1989).

5 Also known as the President's Blue Ribbon Commission on Defense Management. This Commission reviewed all aspects of Defense Management. This Commission laid the ground work for the establishment of DAWIA by suggesting continuous education and training opportunities for both military and civilians working in the acquisition community could not only keep qualified personnel in the government service but also it would facilitate cost savings. The cost savings would be realized by a better trained workforce allowing for manpower reduction and more efficient work processes. (USPBR, 1986).

DAWIA is the overarching law that dictates minimum standards the Secretary of Defense must apply when establishing qualification criteria for personnel in defense acquisition positions. Although DAWIA specifies eleven different occupation fields as sources for acquisition positions, this research is limited to a review of Contracting Officers. Additionally, DAWIA sets forth guidelines for tour lengths, minimum promotion availability, and most importantly, education and training requirements for military and civilian acquisition personnel.

Section 1724 of Defense Acquisition Workforce Improvement Act specifically addresses contracting qualification requirements for “contracting officers with authority to award or administer contracts for amounts above the simplified acquisition threshold” (10 *USC* § 1724(a), 2009). The qualification requirements are to:

- (1) Have completed all contracting courses required for a contracting office;
- (2) Have at least two years of experience in a contracting position;
- (3) (A) Have received a baccalaureate degree from an accredited educational institution authorized to grant baccalaureate degrees, and (B) have completed at least 24 semester credit hours...of study from an accredited institute of higher education in any of the following disciplines: accounting, business, finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organizational management; and
- (4) meet such additional requirements...as may be established. (10 *USC* § 1724(a), 2009)

Section 1724 also provides exceptions and waivers to the recognized guidelines. For instance, the aforementioned standards are not applied to contingency contracting officers, contracting officers who had the authority to contract or administer contracts above the simplified acquisition threshold prior to September 30, 2000. Additionally, the Secretary of Defense (SECDEF) may waive these requirements for any individual that he or she deems to “possess significant potential for advancement...based on demonstrated job performance and qualifying experience” (10 *USC* § 1724(d), 2009).

DAWIA also directs the SECDEF to “establish and maintain a defense acquisition university” (10 *USC* § 1746(a), 2009). Defense Acquisition University (DAU) instituted

the existing system used to certify contracting officers. Contracting officers are certified on a three-tiered system, for entry level, intermediate, and advanced ability, each additional tier requiring more advanced courses and more experience. DAU breaks the acquisition courses into core and specialized. The core courses are required by all contracting officers aspiring to attain subsequent level and the specialized courses are directly related (and recommended) for the type of assignment the individual is appointed. A complete listing of the levels and requirements is provided in Appendix A.

DAWIA is implemented throughout the DoD by the Under Secretary of Defense for Acquisition, Technology, and Logistics [USD(AT&L)] issuing a directive with SECDEF oversight. From USD(AT&L) the responsibility flows to the Assistant Secretary of the Navy's (Research, Development, & Acquisition) (ASN(RD&A)) office where the Director, Acquisition Career Management (DACM) adapts the policy to the Navy and disseminates to all in their purview.

D. FEDERAL ACQUISITION REGULATION (FAR)

The FAR is the document that implements statutes and executive orders. Additionally, the FAR is listed in the Code of Federal Regulations giving it the force and effect of law. The FAR is applicable to most executive agencies within the federal government. Agencies may publish FAR supplements. Those agencies to which the FAR does not apply to must publish their own acquisition instructions or regulations.

The DoD supplements the FAR by issuing the Defense Federal Acquisition Regulation Supplement (DFARS). The DFARS can expound upon the FAR; it can articulate additional requirements applicable only to the DoD. The DFARS cannot weaken or remove any policy set forth in the FAR. The naval services (Navy and Marine Corps) implement the FAR and DFARS by issuing the Navy and Marine Corps Acquisition Regulation Supplement (NMCARS). The policy requirements by the NMCARS are applicable only to acquisitions performed by the Navy and Marine Corps.

The FAR is the overarching regulation from which all subsequent regulations (i.e., DFARS, NMCARS) implement or supplement. The FAR outlines three specific aspects of the warranting process; selection, appointment, and termination.

The FAR provides guidelines for the selection of contracting officers. According to the FAR,

in selecting contracting officers, the appointing official shall consider the complexity and dollar value of the acquisitions to be assigned and the candidate's experience, training, education, business acumen, judgment, character, and reputation. Examples of selection criteria include –

- (a) Experience in Government contracting and administration, commercial purchasing, or related fields;
- (b) Education or special training in business administration, law, accounting, engineering, or related fields;
- (c) Knowledge of acquisition policies and procedures, including this and other applicable regulations;
- (d) Specialized knowledge in the particular assigned field of contracting; and
- (e) Satisfactory completion of acquisition training courses. (GSA, 2010, subpart 1.603-2)

Accordingly, the FAR also provides a general outline regulation pertaining to the appointment of COs. The FAR states:

- (a) Contracting officers shall be appointed in writing on an SF 1402, Certificate of Appointment, which shall state any limitations on the scope of authority to be exercised, other than limitations contained in applicable law or regulation. Appointing officials shall maintain files containing copies of all appointments that have not been terminated. (GSA, 2010, subpart 1.603-3)

This section of the FAR also details regulations determining the termination of a CO. A CO must be terminated by letter unless otherwise stated in the Certificate of Appointment. “Terminations may be for reasons such as reassignment, termination of employment, or unsatisfactory performance. No termination shall operate retroactively” (GSA, 2010, subpart 1.603-4).

The FAR implements the statutory requirements that set the minimum standards for selection and appointment as a Contracting Officer.

E. DEFENSE FEDERAL ACQUISITION REGULATION SUPPLEMENT

The Defense Federal Acquisition Regulation Supplement (DFARS) implements the FAR's overarching requirements. The DFARS implements the FAR's guidelines for the selection, appointment, termination of Contracting Officers.

The DFARS outlines a selection regulation that is more specific than the FAR. According to the DFARS

In accordance with 10 U.S.C. 1724, in order to qualify to serve as a contracting officer with authority to award or administer contracts for amounts above the simplified acquisition threshold, a person must—

- (i) Have completed all contracting courses required for a contracting officer to serve in the grade in which the employee or member of the armed forces will serve;
- (ii) Have at least 2 years experience in a contracting position;
- (iii) Have—
 - (A) Received a baccalaureate degree from an accredited educational institution; and
 - (B) Completed at least 24 semester credit hours, or equivalent, of study from an accredited institution of higher education in any of the following disciplines: accounting, business finance, law, contracts, purchasing, economics, industrial management, marketing, quantitative methods, and organization and management; and
- (iv) Meet such additional requirements, based on the dollar value and complexity of the contracts awarded or administered in the position, as may be established by the Secretary of Defense. (DoD, 1998, subpart 201.603-2)

Unlike the selection process detailed in the FAR; the DFARS does not expand upon the regulations governing appointment and termination.

F. DEPARTMENT OF DEFENSE (DOD) WARRANTED CO-PROCEDURES

The next level of government management for warranting military Contracting Officer is specified within Department of Defense Instruction 5000.66, *Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program*.

This Department of Defense instruction provides uniform guidance for managing positions and career development of the Acquisition, Technology, and Logistics (AT&L) Workforce. This includes the designation and identification of AT&L positions; specification of position requirements; attainment and maintenance of AT&L competencies through education, training and experience; AT&L Performance Learning Model; management of the Defense Acquisition Corps; selection and placement of personnel in AT&L positions; and workforce metrics (USD(AT&L), 2005).

This instruction details the responsibilities of the all the participants within DoD's acquisition workforce and established the basic training, education, and experience requirements for Contracting Officers. According to the instruction

[i]t is DoD policy that the primary objective of the AT&L Workforce Education, Training, and Career Development Program is to create a professional, agile and motivated workforce that consistently makes smart business decisions, acts in an ethical manner, and delivers timely and affordable capabilities to the warfighter. The AT&L Workforce Education, Training, and Career Development Program improves the capabilities and management of the AT&L Workforce by: developing a highly qualified, diverse workforce capable of performing current and future DoD acquisition, technology, and logistics functions; preparing future key leaders; providing career guidance and opportunities for broadening experiences and progression; managing Key Leadership Positions (KLPs) to enhance program stability and accountability; and ensuring effective use of training and education resources" (USD(AT&L), 2005, p. 2).

The intent of this instruction is to establish a well-educated workforce that exhibits competencies that include the knowledge, skills, and abilities to shape intelligent business decisions to support the Department of Defense in delivering goods and services to the warfighter.

DoDI 5000.66 details the Department of Defense's specific basic requirement for certification as a warrant contracting officer. Table 1 details military positions and contracting officer position requirements.

DoDI 5000.66 also states that to become a contracting officer and officer shall pass an examination that demonstrates skills, knowledge or abilities comparable to that of an individual who has completed at least 24

semester credit hours or equivalent in any of the business disciplines. The examination may be a written examination or may be an examination of the member's record for training, education and experience that demonstrates potential for business acumen and other characteristics that show promise for success in the contracting field or Military Occupation Specialty, military training and education that has obtained accreditation or equivalent may be considered" (USD(AT&L), 2005).

Table 1. 1102 Occupational Series, Similar Military Positions and Contracting Officer Position Requirements from DoDI 5000.66

Qualifications	Complete all Required Contracting Courses for Grade level	2 Years Contracting Experience	Baccalaureate Degree (from an accredited Educational Institution)	24 Semester Credit Hours in Business Disciplines*	Waiver Authority
Contracting Officers:**	X	X	X	X	CAE
Occupational Series 1102 And similar military positions			X	X	CAE

*Business disciplines include: Accounting, Business, Finance, Law, Contracts, Purchasing, Economics, Industrial Management, Marketing, Quantitative Methods, or Organization and Management. The 24 semester credit hours (or the equivalent) must be earned from an accredited institution of higher education.

**Contracting officer positions may include additional qualification requirements based on the dollar value and complexity of the contracts awarded or administered in the position.

G. AGENCY CONTRACTING OFFICER WARRANTING PROCEDURES

Within the Department of the Navy, there are four primary large contracting commands: COMFISCS, NAVAIR, NAVSEA, and SPAWAR. Each agency has a different set of warranting procedures. These agencies must implement the regulations set forth with the FAR, DFARS, and DAWIA but are also authorized to supplement further requirements. The supplemental command policies address training and development needs and other operational goals that further expand upon the requirements dictated by formal regulations. Each agency's set of unique requirements are tailored to the specific contracting activities that they perform. Many factors contribute to the ease or difficulty in obtaining a contracting warrant and since agency missions and acquisition activities differ considerably these factors can be influenced by the type of work performed or the organizations culture.

Federal agencies contract for a wide variety of goods and services to support the achievement of certain program goals. As the spending and actions have increased over time, there has been an evolution in the types of contracts used to acquire the variety of goods and services needed by the agencies. [The contracting officer's need] to manage this wide variety of contracts may require, in addition to core acquisition skills, advanced expertise in competencies such as cost analysis and market awareness to mitigate risk while achieving results. (DAOMB, 2009)

Overall, each command can tailor their warranting procedure to the competencies that they need and require from their contracting officers.

The purpose of this section is to describe, in detail, the formal policies and requirements pertaining to contracting officer warranting, by command.

1. Commander, Fleet, and Industrial Supply Centers (COMFISCS)

“The FAR, DFARS, and Navy-Marine Corps Acquisition Regulation Supplement (NMCARS) each contain direction and guidance regarding exercise of contracting authority that is applicable to COMFISCS” (COMFISCS, 2008). This instruction first details the background references followed by a description of applicable authorities and ends with a warranting process.

“The decision to grant a warrant is at the discretion of the Appointing Official after minimum requirements are satisfied” (COMFISCS, 2008). COMFISCS uses a standardized matrix, as shown in Table 4, Appendix B, to determine the appropriate level of warrant to award a new contracting officer. Specifically, COMFISCS breaks down the DAWIA requirements into a template that allows an appointing official to swiftly and correctly combine the qualifications of the Contracting Officer with the appropriate level of authority. “Warrant levels are not limited to grade or rank levels; however, an individual must meet the qualification requirements specified above for their grade and rank before a warrant can be issued” (COMFISCS, 2008).

COMFISCS' instruction specifically states that “[t]he Appointing Official shall strictly adhere to the requirements of [DoDI 5000.66] for training, education and experience requirements” (COMFISCS, 2008). COMFISCS also adhere strictly to DAWIA requirement specifically information about the education, experience, and

training requirements necessary for an individual to be appointed as a contracting officer and further set forth limits on this authority.

COMFISCS uses a five-step process for warranting contracting officers. This process is demonstrated in Appendix B, Table 5.

COMFISCS implements a specifically organized warranting procedure that strictly adheres to the DAWIA and FAR requirements. However, it makes no mention of methods of qualification, such as an oral or written examines and how they should, if at all, be implemented. The process detailed in this instruction is very specific and seems to rely on a review official to interpret and ascertain whether the officer is qualified to be warranted. COMFISCS uses a detailed form to elicit the appropriate information concerning the applicant's education, experience, certifications, and other basic information needed to fulfill the requirements for obtaining a warrant. But, there is no knowledge test requirement; the appointing official only needs to scrutinize records available or made available to him/her.

2. Space and Naval Warfare Systems Command (SPAWAR)

SPAWAR's formal policy towards warranting is very general and relies for the most part entirely on the judgment of the appointing official. SPAWAR's instruction is no more specific than DAWIA regulations, but makes one additional requirement for its potential contracting officers. If a service member or civilian is being nominated for any a warrant at SPAWAR, not only must they conform to his/her "AT&L Career Field Certification requirements" (SPAWAR, 2006), but they also must be a member of the Acquisition Professional Community. SPAWAR's procedures for warranting contracting officers is broken down into three sections similar to other federal regulations: selection, appointment, and termination.

a. Selection

According to SPAWAR instruction, the candidate's training, education, and experience are considered in being selected as a SPAWAR contracting officer. Specifically, the instruction illustrates the following selection criteria:

1. Experience in Government contracting and contract administration, commercial purchasing, or related fields;
2. Education or special training in business administration, law, accounting, engineering, or related fields;
3. Knowledge of acquisition policies and procedures, including FAR, DFARS, NMCARS, other applicable regulations, and SPAWARSYSCOM policies and procedures;
4. Specialized knowledge in the particular assigned field of contracting;
5. Satisfactory completion of acquisition training courses;
6. Membership in the Defense Acquisition Corps; and
7. Level III Certification. (SPAWAR, 2006)

It is important to note that these criteria are used in the selection of a candidate as a contracting officer by the appointing official. The AO retains the ability to use his or her judgment in making the selection. The appointing official is to consider a myriad of subject factors including “the complexity and dollar value of the acquisitions to be assigned and...business acumen, judgment, character, and reputation” (SPAWAR, 2006). This gives the appointing official freedom to determine the capacity of the candidate to operate appropriately in the assigned environment.

b. Appointment

All of SPAWAR’s contracting officers are appointed in writing. The appointing official shall issue a Certificate of Appointment, SF 1402, to each individual. The certificate will include on it all limitations being applied the warrant. The instruction specifies that “these limitations are heavily dependent on the candidate’s current or planned assignments” (SPAWAR, 2006). This ensures that appointing officials do not feel obligated to issue a previously warranted contracting officer a warrant upon arrival to SPAWAR if the organization does not require another contracting officer or SPAWAR does not require a contracting officer of the same level.

c. Termination

As in all the other instructions, SPAWAR must terminate their contracting officers in writing “unless the Certificate of Appointment contains other provisions for

automatic termination” (SPAWAR, 2006). Additionally, the SPAWAR instruction contains the phrase: “Reasons for terminations may include reassignment, termination of employment, or unsatisfactory job performance. No termination shall operate retroactively” (SPAWAR, 2006).

Overall SPAWAR has a general written policy toward warranting. The appointing official has great latitude when assessing the qualifications, experience, and certifications of a CO when awarding a warrant. There is no specific instruction outlining the methodology or procedure to assessing the quality of a potential CO’s skills, abilities, and competencies.

3. Naval Air Systems Command (NAVAIR)

NAVAIR’s warranting instructions very broad and general. Unlike the other instructions, NAVAIR breaks down the instruction further adding a section discussing the delegation of authority and guidelines and requirements for selection. Additionally, the instruction specifies the authority of the contracting officer, the procedures for requesting and terminating warrants, and a listing of the typical classes of warrant awarded.

a. Delegation of Authority

This section of the instruction traces the delegation of appointing official to issue warrants. The authority discussed in the section is based on the NMCARS subpart 5201.6. The appointment authority flows from the Commander, Naval Air Systems Command (COMNAVAIRSYSCOM) to his assistant commander for contracts (ACC) and his deputy assistant commander for contracts (DACC). From the ACC and DACC, authority is further delegated to SES department heads. Along with the delegation of appointing authority to the department heads, NAVAIR directs that they may “restrict issued warrants as they deem necessary” (NAVAIR, 2010).

b. Selection Requirements

In this section, NAVAIR delineates what is expected of a prospective contracting officer. Of this entire section, the most important statement is the first sentence. “An individual nominated...must demonstrate, through past performance, a

high degree of business acumen, sound judgment and solid character” (NAVAIR, 2010) prior to being awarded a warrant. Of all listed requirements this is the point that the appointing official has the opportunity to be subjective and apply their judgment on the limits and authority of the prospective contracting officer.

NAVAIR continues by listing the statutory (DAWIA) requirements for appointment. This is followed by more specific, grade related requirements. Specifically,

[l]level I (basic) certification or courses apply to GS 5-8...and military O1-O3. Level II (intermediate) certification or courses apply to GS 9-12...and military grade O4. Level III (advanced) certification courses apply to GS 13 and above...and military grades O5 and above. (NAVAIR, 2010)

Additionally, NAVAIR requires that all requirements and/or waivers for a warrant must be completed prior to warranting. This differs from statute. DAWIA requires that certifications or waivers must be attained within 24 months of appointment.

NAVAIR requires continuous learning (CL) that their warranted contracting officers must complete. The NAVAIR program is a biennial program requiring the completion of 80 hours of CL for all warranted officials. Ideally, NAVAIR wants their contracting officers to take 40 CL hours per year. If the 80 CL hours requirement is not met every two years, NAVAIR reserves to the right to suspend warrants until the CL requirement is met.

c. Authority

The subsequent section discusses the authority granted to the contracting officer and the transferability of the NAVAIR issued warrant. NAVAIR warrants are divided into seven classes. The classes range from Class I Unlimited to Class VII Limited. A more detailed listing and description of the classes is in Appendix C. The classes and limitation of each class are listed as guidelines. Appointing officials are given latitude to further tailor Class II Limited through Class VII Limited warrants. Class I is a DAWIA level III unlimited warrant which by nature cannot be restricted.

NAVAIR addresses the transferability of issued warrants. If the contracting officer is transferring to another organization within NAVAIR their warrant does not transfer with them; the warrant must be terminated. All warranting needs to be re-verified and all waivers must be re-requested if necessary. The only exception to this is if the contracting officer had previously been issued a Class I Unlimited warrant. This level of warrant transfers freely throughout NAVAIR.

d. Termination

The termination section of NAVAIR's instruction is similar to the other instruction review for this research. Simply stated, a NAVAIR warrant can be terminated for many reasons "such as reassignment, termination of employment, or unsatisfactory performance" (NAVAIR, 2010). Additionally, warrant termination cannot be retroactive and must be done in writing.

4. Naval Sea Systems Command (NAVSEA)

NAVSEA's warranting procedure is very similar to SPAWAR's procedure. It describes no methodology or procedure and upon further review reveals that the warranting process is entirely at the discretion of the appointing official. Nowhere in the policy does it indicate any sort of verification of the requirements. The policy simply states that "[n]ominees shall be [a] certified member of either the contracting or purchasing career field" (NAVSEA, 2004). Additionally,

nominees for appointment as contracting officers shall meet the minimum qualification of the DFARS for the grade or rank requiring the warrant. The nominees shall possess sufficient experience in their assigned career field with the requisite knowledge and training to perform at a level commensurate with the authority requested. Contracting officer authority will be granted as unlimited or with specific limitations depending on the scope of the authority to be exercised. The authority will be based on the need expressed in the application documentation for the particular warrant. (NAVSEA, 2004)

Overall NAVSEA's policy toward warranting is not very specific and does not supplement previous regulations upon already established regulations. The Director for Contracts approves or rejects all appointments and the warranting process is entirely up

to him. There are a number of institutional factors that determine the type and scope of regulation that each agency uses, and accordingly NAVSEA does not intend to modify or add onto the already established regulations.

H. CONTRACT MANAGEMENT JOURNAL

Upon completion of a database search, the researchers chose two articles to include. The first article was *Certification: What it is and What it Isn't* by Dr. Louise Wehrle, the Director of Professional Development at the National Contract Management Association (NCMA). The second article chosen was *Professionalism in Contracting* by Michael A. Dodds, a Professor of Contracts Management at Defense Acquisition University (DAU).

These two articles were included in the research because it provided the authors with background information on certification programs. Specifically, *Certification* provided details on what a certification program is built to provide. Additionally, it provided particulars on how a certification program is constructed and how it should be utilized. Mr. Dodds' article was included because it provided insight into what all professional communities are trying to build—a reputation and the legitimacy that they are a professional community.

1. Certification: What It Is and What It Isn't

In this article, Dr. Louise Wehrle discussed the underlying reasons and needs for a certification program. Dr. Wehrle further explained how certification programs are developed. She states that in order to build a solid program the certifying agency test writers must have an idea of the body of knowledge required to perform the tasks necessary for the job. She suggested that in order to properly develop a program “[y]ou ask the practitioners what it is that they do. You ask the supervisors what is it they expect of their subordinates...[y]ou define the issues and topics that are most important for the practitioners to know” (Wehrle, 2004). Furthermore, Dr. Wehrle made a case about the limits of any certification program. She stated that a certification program

serves as a knowledge assessment tool. Ideally, a certification program provides eligibility for employment; it indicates a foundation of knowledge, not the ability to make sound and proper decisions.

The key point of this article (pertaining to this research) is that a certification program must reflect what the practitioners and their supervisors believe to be essential knowledge pertaining to job performance. If the program does not, it becomes irrelevant and a new certification program is necessary. In following Dr. Wehrle's point, current standards need to change as the field progresses.

2. Professionalism in Contracting

In this article, Mr. Dodds discussed what it means to be a professional versus administrative role and the importance of establishing contracting as a professional community. Mr. Dodds states that DAWIA has gone a long way toward transforming contracting from a clerical or administrative role to a profession. However he clarifies, that merely having minimum education, training, and experience standards does not evolve a position from administrative to professional. The community must come together to develop that *je ne sais quoi* that exudes "professional."

Mr. Dodds suggested that there are six traits that community leaders need to foster and evaluate for the professional transformation to occur: integrity, critical thinking, leadership, innovation, altruism, and professional appearance. He further states that these attributes are what he thinks are vital to professional contracting community. In order to instill these attributes into the community, Mr. Dodds suggested that DAU provide modules in all DAU training courses on professionalism.

This article provided the researchers insight into the challenges involved in establishing a new professional community. This research will specifically be examining any additional requirements Appointing Officials may be requiring of Contracting Officers prior to receipt of their warrant.

I. AN EVALUATION OF THE REQUIREMENTS FOR QUALIFICATION AND WARRANTING OF ADMINISTRATIVE CONTRACTING OFFICERS

1. Overview

Captain Ficken and First Lieutenant Motlong's thesis was written in 1984. At that time, contracting officers specialized "in one of three areas of contracting: procurement, administration or termination" (Ficken & Motlong, 1984). The procurement contracting officer (PCO) was responsible for the development and awarding of contracts. This includes market research, source selection, and contract negotiation. After awarding the contract, an administrative contracting officer (ACO) takes over to ensure adherence to all provisions and the delivery schedule. If, at any point, the contract required termination, a termination contracting officer (TCO) would have been assigned to settle with the contractor.

Their thesis focused on the federal procurement reforms announced in Executive Order 12352, Federal Procurement Reforms issued in March 1982. This reform "directed the heads of departments and agencies to establish procurement career management programs" (Ficken & Motlong, 1984). Specifically, the research question deals with ACO qualifications, whether ACO's standards should be lumped in with PCOs and TCOs or they should have their own set.

Pursuant to Executive Order 12352, the OFPP established an interagency task group: Task Group Six. One of Task Group Six's mandates was to establish qualification standards for government COs. Task Group Six developed a sample instruction (Appendix D) to provide minimum standards for contracting officer selection. Minimum Task Group Six requirements for a senior contracting officer is at least five years experience, a bachelor's degree in an appropriate field of study, 520 hours of training, and the individual must dedicate a majority of their time to procurement or contracting duties (Ficken & Motlong, 1984).

2. Findings

Ficken and Motlong noted that “[s]election requirements are needed for any position including an ACO; however, the Task Group’s recommended criteria should not be strictly applied to ACOs. The Task Group established criteria based on varying degrees of the authority and recommended that agencies develop selection criteria accordingly” (Ficken & Motlong, 1984). After the survey data was analyzed, the practitioners suggested the following minimum standards for ACOs: five years of experience, a bachelor’s degree, and 408 hours of training. These minimums, for the most part, mirror the Task Group Six recommendations for senior contracting officers. The exception was training.

This thesis formed the basis of this research. Ficken and Motlong’s thesis is very similar to the research completed within this project. The authors decided to take a fresh look at the subject area and update it for the implementation of DAWIA. The authors borrowed from their methodology. The survey used by Ficken and Motlong provided the backbone for the instrument used in this research.

J. REPORT OF THE COMMISSION ON ARMY ACQUISITION AND PROGRAM MANAGEMENT IN EXPEDITIONARY OPERATIONS (GANSLER COMMISSION REPORT)

In response to allegations that billions of dollars had been misappropriated in Afghanistan and Iraq; the Secretary of the Army established an independent Commission on Army Acquisition and Program Management in Expeditionary Operations (commonly known as “the Gansler Commission”), to review current problems and provide recommendations towards achieving greater “effectiveness, efficiency, and transparency” (USA, 2007) within Army acquisition, contracting, and program management communities. In order to evaluate the status of Army contracting, the commission heard testimony from over a 100 qualified and experienced personnel. The most common element of these testimonies was that nearly every individual perceived similar problems with the Army Acquisition system (USA, 2007).

Through the course of its investigation, the Gansler Commission found specific problems with the following fields:

- Financial management
- Civilian and military personnel
- Contracting and contract management
- Training and education
- Doctrine, regulations, and processes (USA, 2007)

These failures had “significantly contributed to overall waste, fraud, and abuse within the Army Acquisition system” (USA, 2007).

Specifically, two parts of the Contracting and Contract Management problem reported by the Gansler Commission directly applied to the study subjects of this project. First, the Commission determined that Army needs “strong leadership and a robust...training doctrine that trains on the use of Government contracting” (USA, 2007). Secondly, it determined a lack of DAWIA-qualified and experienced contracting personnel in theater.

According to the Gansler Commission, the Army is not providing quality contracting personnel to support the mission.

There are far too few Army contracting personnel in-theater. According to the JCC-I/A Commander, even those that are there are not adequately qualified for their responsibilities: only 38 percent of the total Army. Acquisition/Contracting Workforce in-theater are certified for the positions held; and, overall, Army contracting people mostly are not certified for the position occupied. Of the percent authorized, only 80 percent of the contracting billets are filled by the Army, and the Commander has given up asking for additional personnel. (Gansler, 2007)

Additionally, even the Army’s Acquisition workforce understood their lack of qualification. One Army contracting field grade officer is quoted in the report as saying that “[he] is assigned to a field grade command with lieutenant qualifications” (USA, 2007). This creates a situation where under-qualified personnel are leading under-qualified personnel, therefore increasing the risks associated with Army Expeditionary contracting.

The Gansler Commission report pointed out serious consequences of these deficiencies. In particular, the lack of strong leadership and adequate training has led to increased incidence of fraud being investigated within Army contracting units. At the time of the Gansler Commission report, there were 78 open fraud cases against Army contracting personnel out of a total of 79 open cases. The majority of these fraud cases are attributed to under-qualified personnel (USA, 2007).

Due to the significance of these problems and the similarities in contracting systems shared throughout the DoD, there is a potential for Navy contracting to be facing similar problems.

K. SUMMARY

This chapter has provided an overview of the documents reviewed for this research. It delved into the depths of the statutes and command instruction that govern contract officer warranting. Additionally, it evaluated applicable trade journal articles. Finally, a review of the Ficken and Motlong thesis and the Gansler report was provided.

The next chapter will provide an in-depth look at the research methodologies used for this project. It will discuss the survey construction, the survey, and the population and sample it is intended to reach. Finally, the next chapter will provide data collection procedures, how the data is to be analyzed, and a list of assumptions and limitations.

III. RESEARCH METHODOLOGY

This chapter describes the development and validation of the survey instrument used in gathering the data to answer the research questions. It also identifies the universe, population, and sample to which the survey was administered and relates the data collection and data analysis procedures used to determine survey results. Finally, assumption and limitations of the survey are stated.

A. SURVEY CONSTRUCTION

The scope of this research project is limited to analyzing the contract officer warranting procedures in four major contracting commands: COMFISCS, NAVAIR, NAVSEA, and SPAWAR.

During performance of this research, the authors determined that the process for warranting Contracting Officer was highly variable between the individual contracting activities. Due to this variability, the survey would require several questions that will solicit the necessary information from these commands. Also, it was imperative that these questions adequately assess the level of necessity and relevance of the methods used to warrant contracting officers. During literature review, the researchers discovered a survey previously used by Ficken and Motlong in their master's Thesis: *An Evaluation of the Requirements for Qualification and Warranting of Administrative Contracting Officers*. The researchers utilized this survey and modified it to make it relevant to this research.

This survey has two objectives. First, this survey will help ascertain the methods that the selected Navy Commands use to assess their CO's knowledge and capabilities prior to awarding a contract warrant. Secondly, the survey will determine whether the current DAWIA optional education requirements are beneficial to the contracting command.

The authors decided to utilize two separate surveys for the two populations. One survey was sent to Appointing Officers (or designated official) (AO) who are the officials that make the final decision on how a warrant is awarded. The AO has numerous tools

upon which to base his/her warrant decision: a written exam, an oral exam, or a qualification board or all. The information provided by the AO allowed the authors to compare and contrast this information across the contracting activities. Additionally, this information will provide a leadership perspective on the warranting process at each contracting command.

The second survey intended to solicit information from warranted contracting officers. Data provided by this survey will serve to compliment the data received from the AO survey in order to create an image of what they believe are effective methods for warranting the CO directly from those who were warranted. The CO will provide information pertaining to what processes they felt were adequate or beneficial to their individual warranting.

In addition to the warranting process, the surveys will also assess the relevance of the DAWIA optional education requirements. These requirements are specific course geared towards additional training in very narrow subjects. Most newly warranted COs have very general education as specified in DAWIA, however, these optional courses provide specifically targeted training that further expands the base knowledge initially gained in a general Acquisition education. This information is necessary to determine if there is a divergence between the general required training and recommended training applicable at the contracting command.

B. THE SURVEY

The current Navy's acquisition workforce is a combination of civilians and military personnel; each possessing different education levels, experience levels, and overall knowledge of contracting. These professionals do not meet a standard profile and thus make it difficult to ascertain an adequate comparison. For simplicities sake, these surveys were constructed to exclude certain demographic statistics that are either unnecessary or difficult to determine relevance; such as the general age, gender, and a distinction between civilian government employees or military members. Thus, to make the necessary comparisons for data collection requires asking specific questions of the current Naval Acquisition Workforce. These questions could have been posed through

in-person interviews, telephone interviews, or via an online survey. Since most COs are located at activities around the country, personal interviews were considered logistically unfeasible. Telephone interviews were overruled based on the amount of information that was required. An online survey was selected as the best method for gathering the necessary data to make a meaningful comparison between the contracting activities. This survey would provide a detailed questionnaire to all the available activities at low cost to the authors; provide a means of easy dissemination, and central location to collect the data.

1. Part I – Demographics

This section contains questions designed to identify the current Acquisition Workforce. The first two questions of the survey were simply used to ascertain where and what rank the participants are. The authors minimized easily identifying questions as to allow for maximum anonymity. The authors determined that these two questions would be the minimum amount of personal information to continue the research. The participants rank was determined relevant because some organizations participating in the survey use rank/grade in determining the maximum DAWIA level available to contracting officer candidates.

Questions three through six identified the respondent's highest educational level achieved and the relevancy this degree has towards contracting. Each of the possible degree programs (High School, Associate, bachelor's, and master's) is rated using the following scale:

- I do not have a(n) (appropriate) degree
- No contracting background
- Some contracting background
- Extensive contracting background
- Entire degree emphasis was contracting

Questions eight and nine indicate experience in contracting and the duration of employment with the contracting activity. In addition to providing the present experience level of the CO/AO, this set of questions allows the determination of total organizational experience for the individual.

2. Part II – Contracting Experience

The next set of questions determined the complexity of the administrative work done by the subject. The first two questions ask for the subjects current status within the acquisition workforce, whether they are DAWIA certified, and at what level. The other question determines their warranted authority. Both of these questions are meant to determine the subject's current experience.

Question 12 is of particular importance. This question determines the level of involvement the subject had in determining the warranting process within the organization. This question is important because it determines whether the subject had the authority to create, implement, or influence the warranting process.

Questions 13 through 16 provide a basis for determine potential categories for CO classification. One question asks the subject to specify the type of contract he/she administer most often. Response choices specify two fixed price and two cost type contracts as well as a responses for "other." Contract type options provided are believed to be the most prevalent types being administered at the contracting activities. The two other questions ask the subject to specify dollar values of contracts most frequently administered.

3. Part III – Courses for Contracting and Acquisition Personnel

Question 17 identifies training courses for contracting personnel. The list contains courses that are optional for career progression, as dictated by DAWIA standards. While indicating whether the course has been completed, the subjects rate the utility of the course for their current position. Answers will provide possible

training recommendations to enhance the CO's knowledge and abilities. In this section on the AO survey, the respondents are asked to rate the importance of each course as qualification requirement for selecting COs.

4. Part IV – Contracting Officer Selection Criteria

This part of the survey consists of questions that will determine the methods that were used to warrant the CO. These questions will determine if the respondent was interviewed, required to take an examination, inherited the warrant by virtue of position, or some combination of these methods. Additionally, the respondent is asked his experience level and education level at the time of selection. This information provides a check on agencies written selection procedures identified in Chapter II of this research. Finally, this section asks the COs if they believe they were qualified for the CO position when selected.

5. Part V – Recommended Standards

The last section of the survey asks the opinions of the respondents regarding selection criteria for COs. This section was included to highlight factors that may have not been included in DAWIA standards or other regulations.

The questions in this section ask for specific opinions on the importance of experience, education, training, and examinations in the CO selection process.

Recognizing that no instrument is perfect, and not wanting to restrict the input of the respondents, the surveys conclude with a statement requesting the respondent to provide any additional comments he/she feels are important for the research effort.

C. THE UNIVERSE

The universe for this research project was all warranted contracting officers, civilian and military, and appointing officials/designated representative at NAVAIR, COMFISCS, NAVSEA, and SPAWAR. The population of interest for the universe is described below.

1. The Population

Functions assigned by the FAR give COs considerable responsibility. Additionally, COs located in contracting command are in constant contact with contractors. This research study concentrates on COs and AOs in Navy contracting commands.

2. Sample

The original intent of this survey was to poll the entire DoD CO/AO population. However, doing so would be nearly impossible due the size and distribution of the acquisition workforce. Therefore, the researchers decided to focus on Navy acquisition personnel only and leave the greater DoD force for future research. To this effect, the researchers first determined that the major contracting activities within the Navy are COMFISCS, NAVAIR, NAVSEA, and SPAWAR. First, the researchers made contact with the each activity's Lead Contracting Executive (LCE), typically an O6 or SES civilian. Once contact was made, the LCE was solicited for their participation. This was necessary since information about individual COs was extremely restricted, thus contact with the COs would require not only buy-in from the LCE but assistance in survey distribution. The LCE determined the best dissemination of the survey in order to provide the necessary data and make effective use of their workforce by easing workload. The researchers felt this was acceptable due to the number of COs and lack of available contact information. The research is not restricted to military only personnel and the LCE can provide the necessary authority to reach them and query their participation. Initially the researchers experienced difficulties contacting the LCE at SPAWAR due to very limited contact information available.

Due to time constraints of this research effort it was decided to conduct a purposive survey using a portion of the population willing to administer the survey within their organizations, organized and funneled by the LCE.

D. DATA COLLECTION PROCEDURE

Survey Web links were sent via e-mail to the LCE for dissemination to those subordinates that wish to participate in the research. Instructions and a brief explanation of the survey were provided within the initial e-mail. The online survey collector SurveyMonkey.com™ collected and sorted all the data. Additionally, SurveyMonkey.com™ provided numerous tools to assist the researcher's analysis of the data. Respondents were requested to complete the surveys within two weeks of receipt of the e-mail. Organizations not responding in the specified time period were given a courtesy call/e-mail to determine their intentions for the survey.

E. ANALYSIS OF THE DATA

The online survey provided via SurveyMonkey.com™ will tabulate and collect all the necessary information submitted by the respondents. All questions will be answered via SurveyMonkey.com's™ Website.

F. LIST OF ASSUMPTIONS

- CO selection criteria can be quantified
- The number of COs in each activity, as identified by the agencies, was correct
- There are no errors in computer tallies and computer collection methods.

G. LIST OF LIMITATIONS

- Survey questions may have been unclearly worded causing misinterpretation by respondents
- Some variables may have been omitted from data collection and analysis.
- Experience, education, and training equivalencies were not considered.

H. SUMMARY

This chapter presented the development of the survey, the sample targeted, and the plans for collection and analysis of the survey. This chapter describes the development and validation of the survey instrument used in gathering the data to answer the research questions. It also identifies the universe, population, and sample to which

the survey was administered and relates the data collection and data analysis procedures used to determine survey results. The researchers decided to use two surveys, one for the appointing officials and one for the contracting officers. The use of two surveys was intended to solicit information from the leadership's perspective as well as the subordinate's perspective. Finally, assumption and limitations of the survey are stated.

The following chapter discusses the findings based on the CO/AO responses to the surveys. First, the survey participation data will be discussed and inconsistencies will be identified. Then, general survey results will be presented and interpreted. Finally, the research questions and applicable data will be discussed.

IV. FINDINGS

This chapter presents finding based on the survey responses and compares those responses with the recommended standards from DAWIA and the FAR. Additionally, this chapter discusses the methodologies used within Navy contracting activities pertaining to the qualifying contracting officers for warrants. The first part of this chapter identifies survey participation associated with conducting the survey. The second part identifies general survey results. The third part of the chapter discusses findings relative to the research questions, and will identify consistencies and inconsistencies in the warranting process within these commands. The chapter concludes with summary of the survey data.

A. SURVEY RESPONSE

By contacting the Lead Contracting Executives (LCEs) prior to completing the necessary research administration, the researchers were able to keep the LCEs informed and up-to-date on the progress of the survey, which allowed sufficient time for the agencies to prepare for the survey. As a result, 32 Warranted Contracting Officers (CO) and two Appointing Officials (or Designated Representative) (AO) responded to the survey. The sampled Contracting Officers work for either COMFISCS or SPAWAR. Figure 1 depicts the distribution of the survey between the two agencies.

Initially the researchers intended to allow four-week response time for survey completion, but due to initial favorable results they decided to condense the time frame to two weeks. E-mails and phone calls were made each week for two weeks before the survey was sent and during the response time to ensure adequate preparation on the respondents. The researcher took careful consideration of workload, holidays, and survey completion time, in order to make the survey easier to complete.

At the conclusion of the data collection process, responses had been received from two of four organizations. There were several problems that came to light during the collection of data via the survey. First, NAVAIR declined to participate in the study after previously expressing interest in participating. NAVAIR cited “too much

workload.” NAVAIR is the second largest contracting activity within the Navy and does the majority of its business with large Aviation contracts. Secondly, NAVSEA expressed interest in participating in the survey and even disseminated the survey through the contracting unit. Unfortunately, no one solicited chose to participate in the survey within the two weeks allotted window. It is unknown as to why NAVSEA chose not to participate and subsequent contact has not occurred. In-the-end, the loss of these large contracting activities could potentially affect the effectiveness of this research; however, due to the fragmented nature of Navy contracting commands the exclusion of these commands will have an effect on the research but relevant data can be attained from the commands that did respond. COMFISCS and SPAWAR did respond and are separate and self-contained entities that represent a broad cross section of large Naval contracting activity.

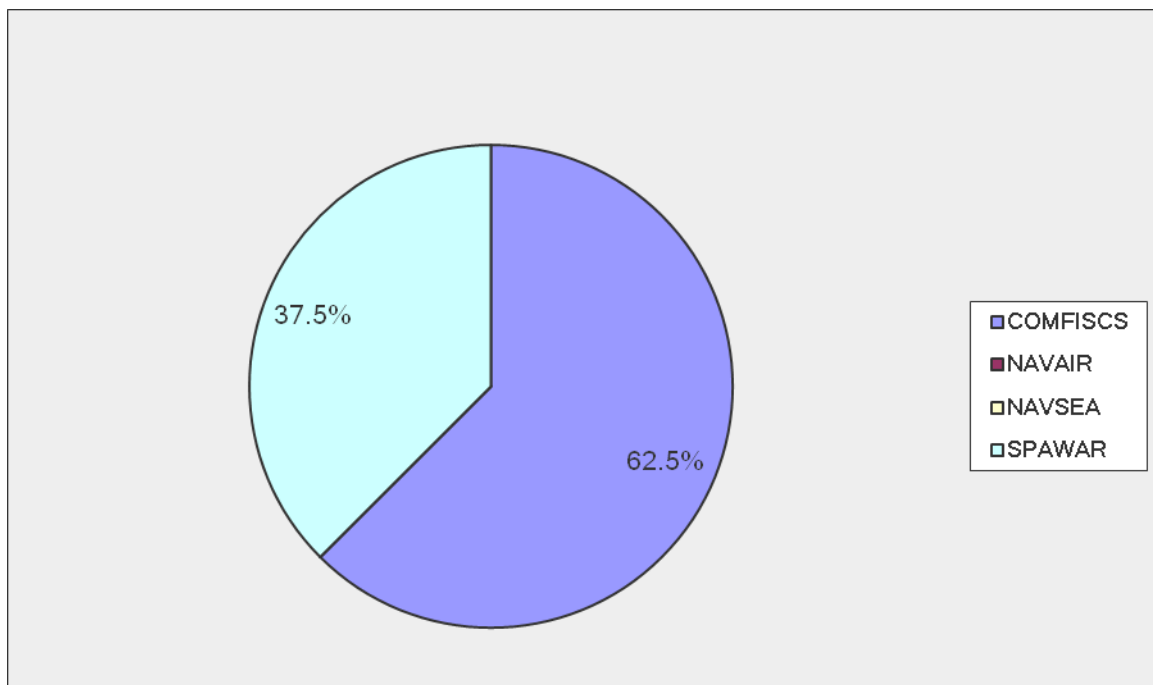


Figure 1. Organization Break-Down

Possible reasons for non-response by COs are a common issued encountered by Ficken and Motlong as well as the researchers. These issues include:

Disinterest in the survey; Non-availability because of vacations or temporary duty assignments; Completion of the survey was a low priority in a busy work schedule. (Ficken & Motlong, 1984)

Of the 32 responsive Contracting Officers, three did not wish to participate or did not complete the survey. One respondent had technical difficulties with the survey site.

Some respondents did not answer every question; however, all respondents answered the majority of the questions and no surveys were eliminated for incompleteness. Findings are presented based on the total responses received for each question exclusive of the CO's input. Total responses for each survey question are presented in Appendix D for the AO responses and Appendix E for the CO responses.

B. RESEARCH QUESTIONS

1. What Are the Warranting Requirements for COMFISCS, NAVAIR, NAVSEA, and SPAWAR?

In Chapter II (Literature Review), the procedures for selecting CO were explained from the perspective of the various contracting activities. The section on selection criteria was included in the survey in an attempt to determine if standard selection procedure or selection criteria were evident from the selectee's perspective. Five factors were included in the survey: interview, examination, experience, and inherited.

Before they were selected for their positions, according to Figure 2, 50% of respondents were interviewed by various levels of management. According to Figure 18, only 22.2% of those interviewed felt that the interview was the primary criteria used in their selection. The Navy does not specify if an interview is necessary. Additionally, the researchers did not find a requirement for interviews within each activities procedures. However, according to the survey completed by Appointing Officials, 50% of responding AOs require an interview as selection criteria contrary to their published documents and procedures.

As demonstrated in Figure 3, an examination was not required by 100% of the respondents. Zero respondents indicated that an oral exam was not required and zero respondents indicated a written exam was not required. None of the COs had to take an

examination prior to their appointment. Respondents indicated that examination were the least important criterion for selection. According to AOs no examination of any type is required for selection.

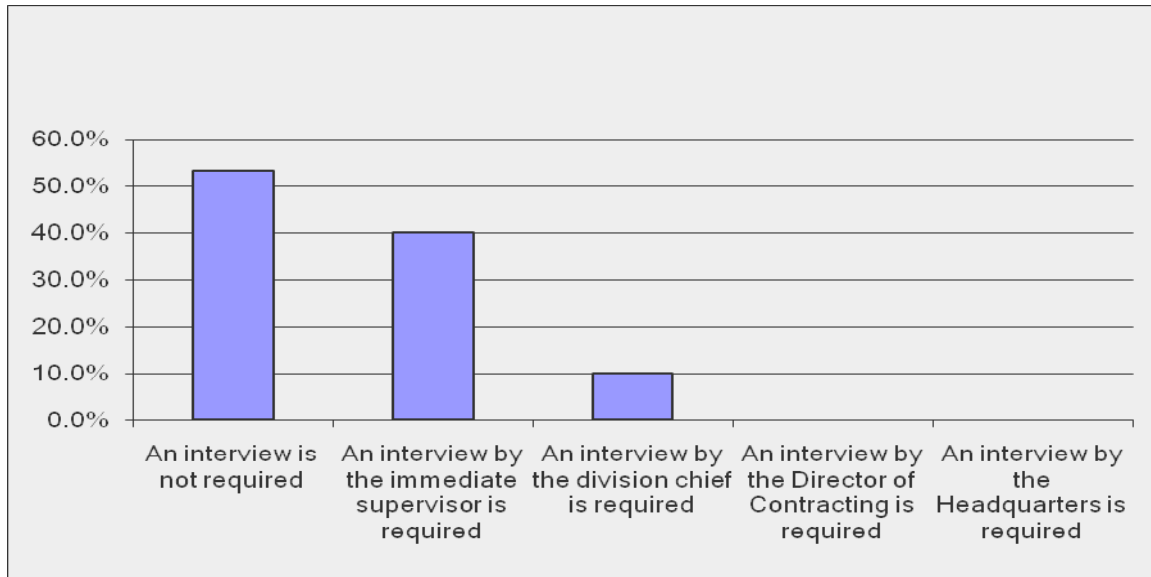


Figure 2. Interview requirements for warranting

Experience was believed to be the primary selection criteria by 66.7% of the respondents. Additionally, 11.1% of respondents indicated that references from former employers were a significant selection criterion.

The selection procedures reported by the COs were not reported within the activities listed procedures, regulations, or instructions. Based on Figure 4, 23.3% of contracting officer respondents indicated that they were selected for their position without regards experience, examination, or interview; based solely upon their education and the minimum DAWIA requirements. Two respondents noted that their warrant selection criteria was solely based upon position or “inherited”; with one respondent claiming that “COMFISCS seems to warrant everybody.” Additionally, 73% of respondents indicated that they did not “inherit” their current warrant and that additional selection criteria were used; such as references, business acumen, and quality of work. This question seems to indicate fragmentation in the selection process between the activities with some simply “handing out” warrants and others practicing some sort of

substantial review of the COs employment record. However, 100% of AOs indicate that “other” requirements are necessary for selection and that no COs “inherited” there warrant based solely upon their assigned billet.

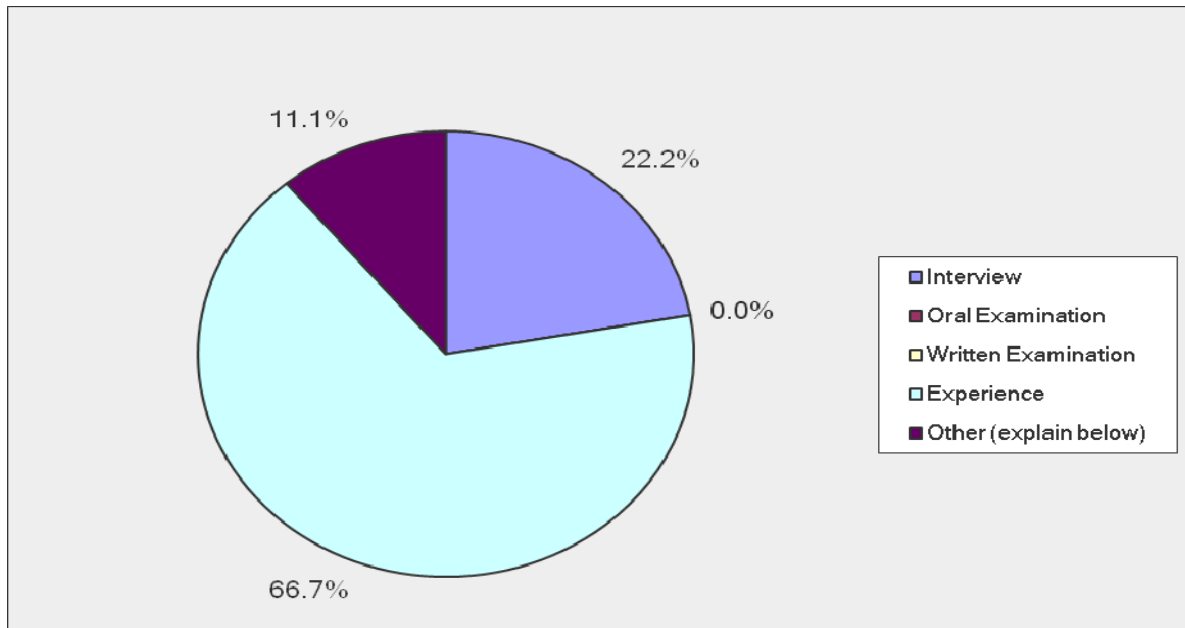


Figure 3. Primary selection criteria

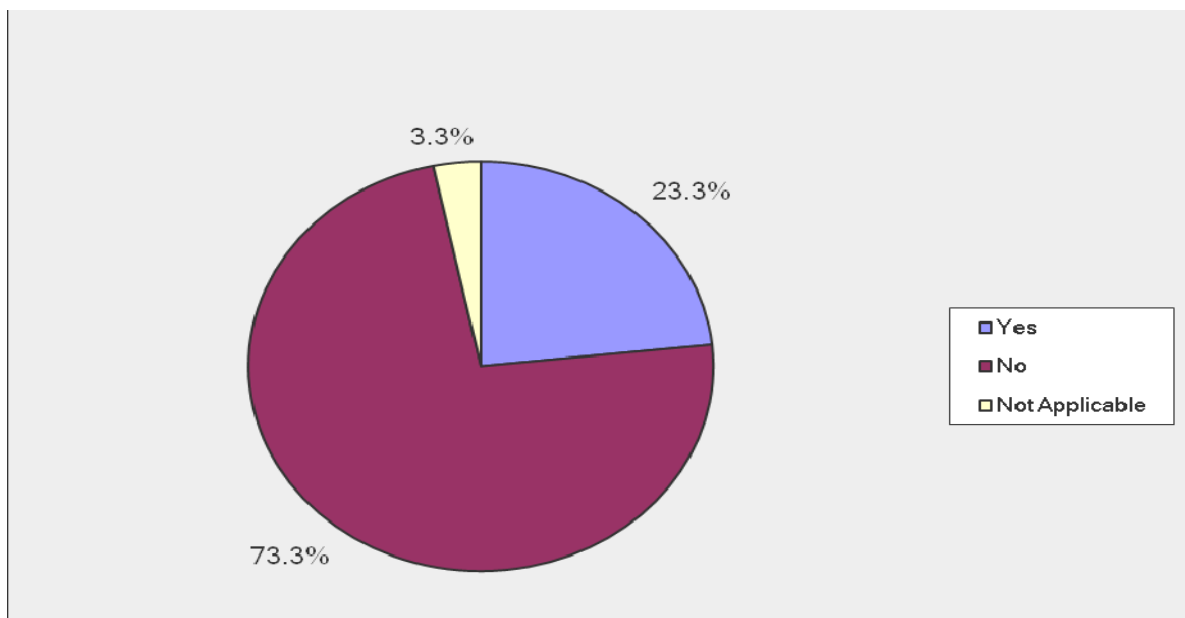


Figure 4. Inherited warrants

2. Do Warranting Requirements Differ Greatly? If So, What Are Some Reasons for the Difference?

The portion of the chapter discusses warranting selection requirements between reporting activities. The research questions can be divided between three requirements criteria. The important criteria for determining the selection of warranted contracting officers are: experience, education, and training. The breakout of the contracting officers is presented first. This composite picture is followed by section discussing particular finding in the three requirements. These figures are based on all responses to the survey.

Figure 5 displays the percentage of Navy contracting officers that would be classified into three levels of contracting skills differentiated by their experience, education, and training.

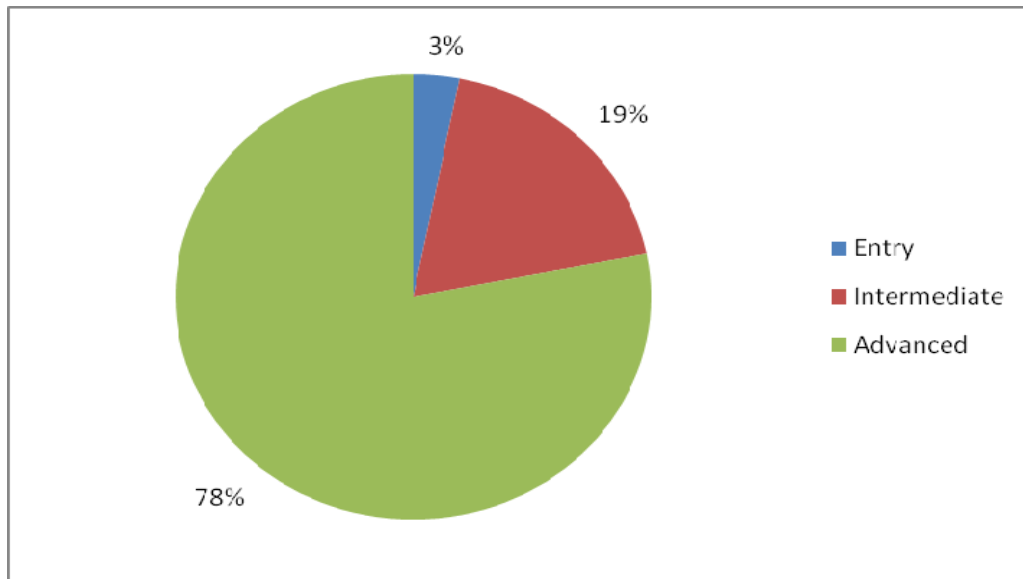


Figure 5. Contracting Officer Classification

These three categories include: Entry, Intermediate, and Advanced levels. Each of these corresponds to the DAWIA levels (I, II, III). These categories will characterize the common skills of current contracting officers within the sample. Entry level is defined as possessing less than a bachelor's degree, less than two years experience, and minimal amount of training. Intermediate level is defined as possessing at least a Bachelors degree, two-six years of experience, and moderate level of training. Advanced level is

defined as possessing at least a bachelor's degree, six or more years of experience, and extensive amount of training. The majority of the contracting officers responding to the survey would fall within the advanced category.

Based on this sample approximately 3% of contracting officers should not qualify for any contracting position above Simplified Acquisition Procedures (SAP) and additional 19% would only qualify for lower DAWIA levels. Small Purchase COs are limited to \$100,000 signature authority. However, 99% of the COs indicated they presently administer at least one contract valued at more than \$500,000. If systematic standards were implemented a good portion of COs will be disqualified or would need to recertify. Figure 6 is the breakdown of contracts presently administered within the sample.

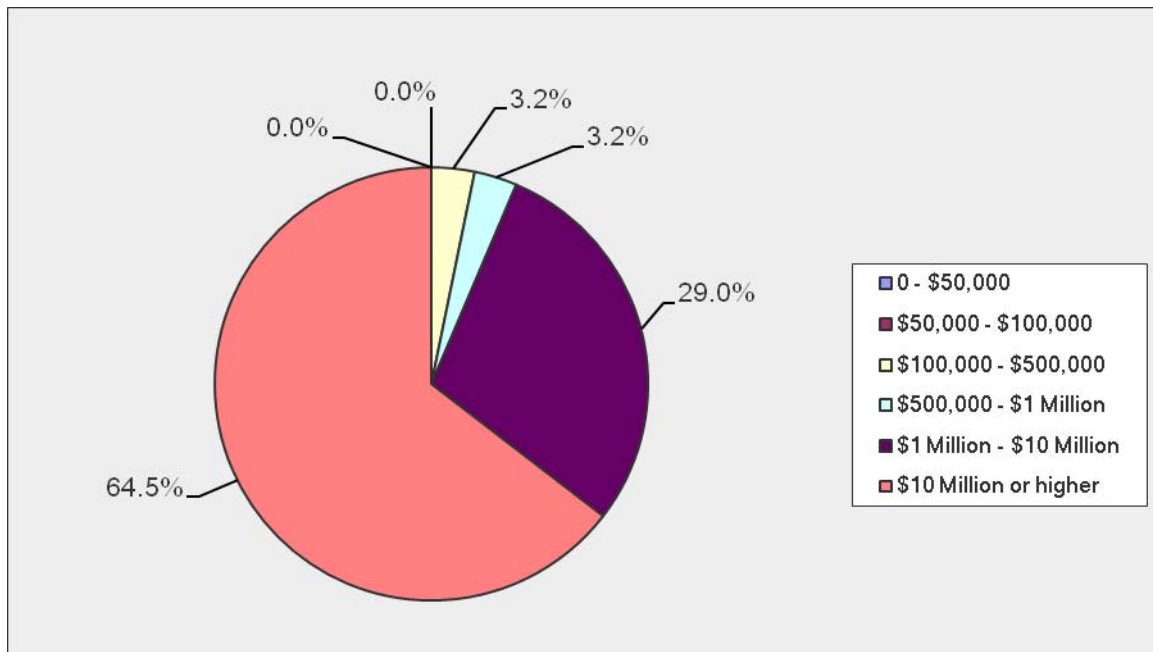


Figure 6. The highest dollar value for a single contract for which you are presently the Contracting Officer is in which range?

When each of the components of this picture is viewed separately, there is marked difference in the composition of the CO categories. For this reason, the three qualification criteria will be discussed individually in the following sections. The

sections first address CO demographics and then present opinion express by respondents regarding the given criteria. Additionally, CO selection procedures are discussed.

a. Experience

(1). Demographics. Figure 7 shows how COs would be classified if experience were the only factor considered. The predominant category would be the senior level COs with 87.5% currently having six or more years of contract administration experience. Of the COs that would be categorized as Senior COs, 50% possess 10 years or more of experience. While having less than two years of experience, 3.1% of the COs would be unqualified for any position.

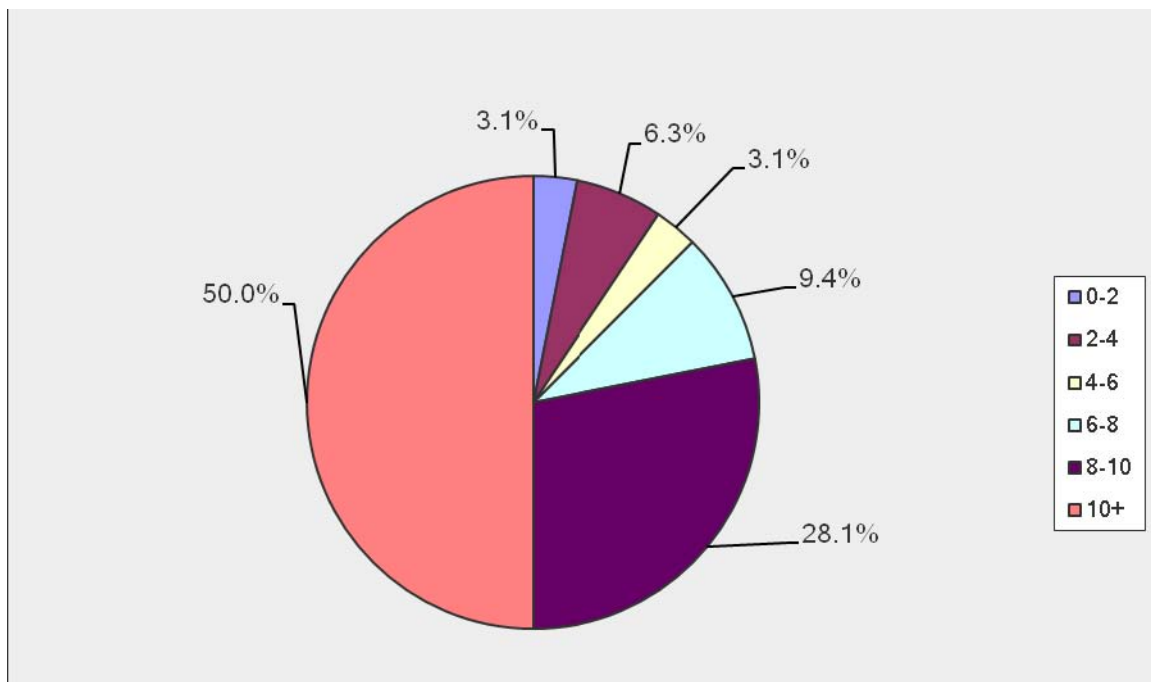


Figure 7. How many years of experience do you have in your field?

(2) Recommendations. Less than 4% of the COs were selected for their present position with less than two years of experience. In fact, 63% had more than six years in contracting. Figure 8 displays the experience levels of CO upon selection for their current position.

Figure 9 displays COs recommendations for minimum requirement standards. Although 63% of the COs had six or more years of experience at the time of

their appointment, 60% recommended that 4–6 years of experience was sufficient for selection. Twenty-one percent recommended 2–4 years of experience and only 14% suggest six or more years are required for selection. Interestingly, all 14% of respondents had at least a master’s degree at the time of his selection and had less than six years of experience.

According to Figure 10, 63% of respondents believe that Experience is mandatory for selection.

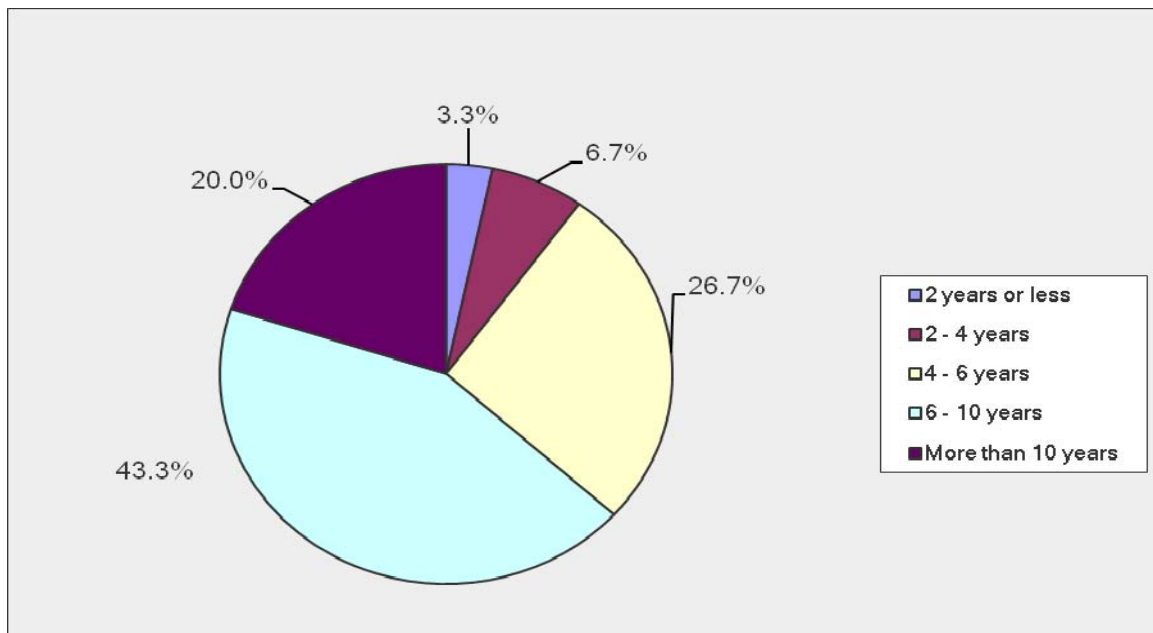


Figure 8. What was your experience level when you were selected for your warrant or position?

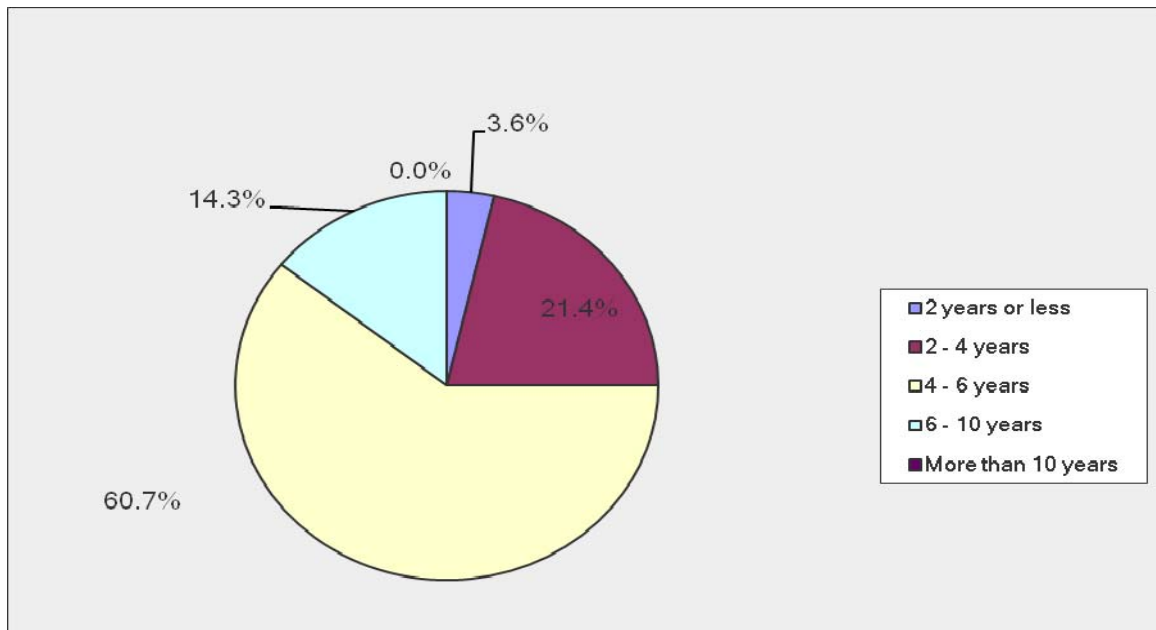


Figure 9. What should be the minimum number of years of contracting experience someone should have before being selected as a Contracting Officer?

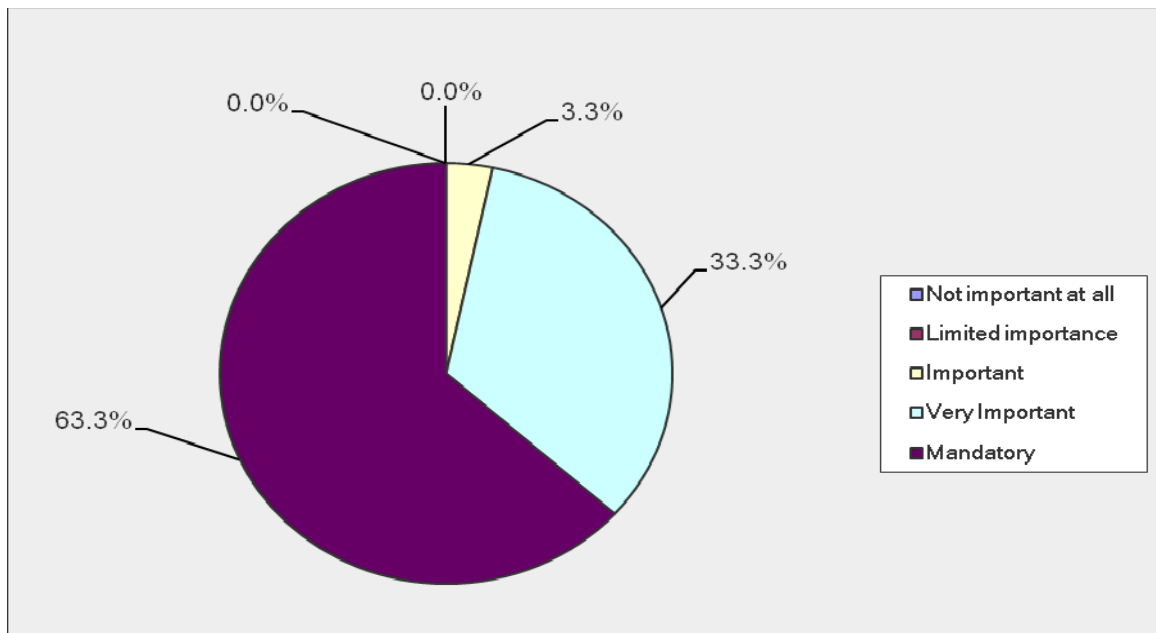


Figure 10. How important is EXPERIENCE as a qualification criteria for selection of a Warranted Contracting Officer

b. Education

(1). Demographics. When education is used as the only qualification criteria, the CO picture is even more concentrated in the senior CO category. As displayed in Figure 11, 92% of the COs possess at least a bachelor's degree and therefore qualify for a senior CO position. The remaining contracting officers fall in the Novice and Intermediate categories. Of those in the senior category, 81% possess either a master's degree or something beyond a master's degree.

(2) Recommendations. Although the survey did not ask COs to recommend a minimum educational level, it did ask the respondents' view on undergraduate and graduate study in business or contracting as a factor in selection of COs.

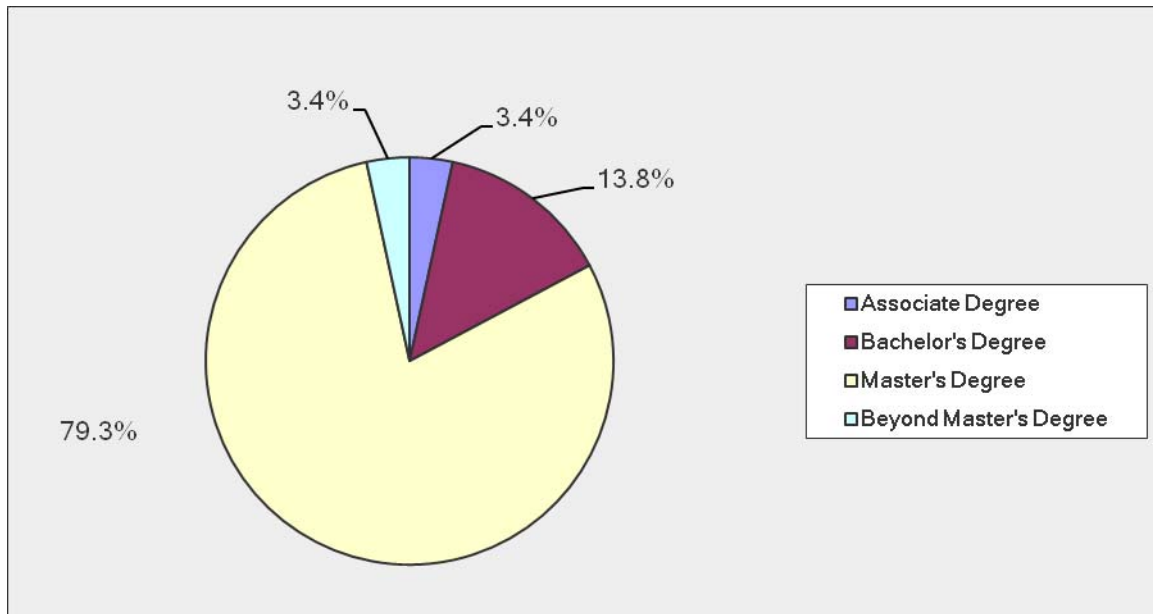


Figure 11. What was your educational level when you received your current warrant or position?

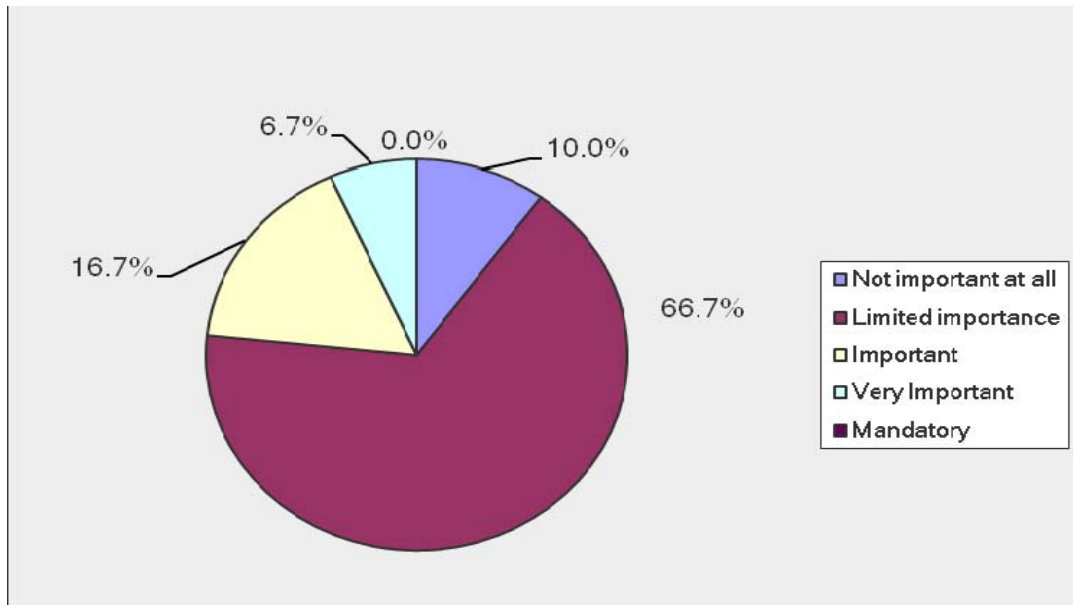


Figure 12. How important is undergraduate study in business or contracting related course work as a factor in selecting contracting officers?

Figure 12 displays how important the respondents rate a bachelor's degree for selection as a warranted contracting officer. Undergraduate study was considered limited importance at 66.7%, and important at 16.7%. Figure 13 displays the same question with regards to graduate study.

Well over half of the respondents indicated that graduate study in business or contracting was important to very important. Figure 11 depicts that 79% of respondents had at least a master's degree with only 13.8% stopping their education at a bachelor's degree.

The respondents selected that more education was important. However, they de-emphasized the necessity of a bachelor's degree; this is noteworthy. One possible reason for the non-emphasis of educational requirement is that the survey question qualified study to business or contracting. Perhaps opinions would have been different if the question addressed a generic educational requirement. A further comment by one respondent indicated that continuing education should be important after selection; however, possession of a degree should not be a prerequisite for an individual's selection if that individual is determined to be qualified by the selecting authority.

Additionally, the respondents placed more emphasis on graduate study, one possible reason for this is the graduate study is more specialized and therefore respondents probably focused more on business and contracting and gained their primary contracting education with their graduate study.

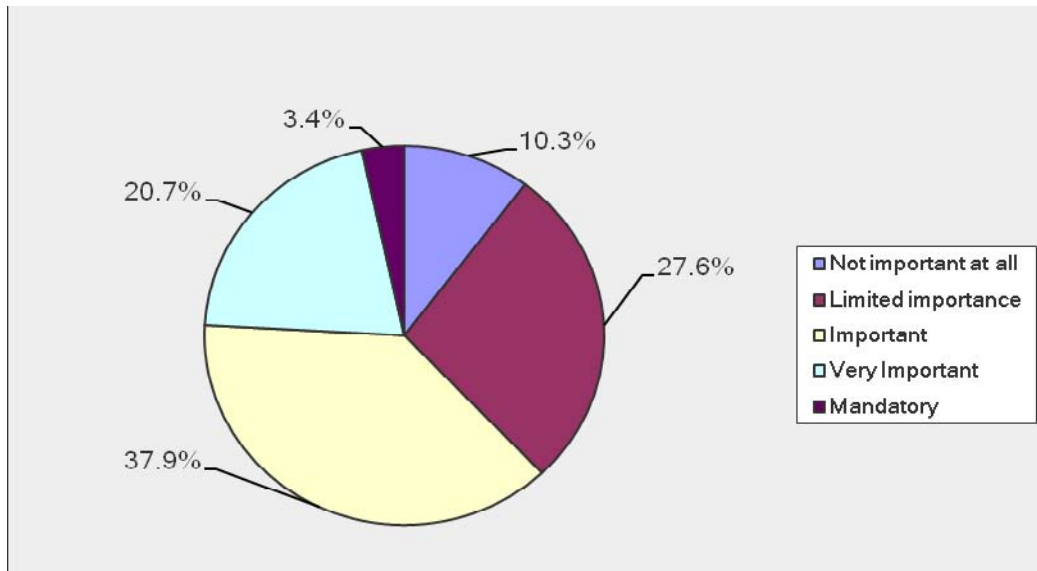


Figure 13. How important is graduate study in business or contracting related course work as a factor for selecting contracting officers

Appointing Officials had a slightly different take on education as a requirement. Figure 14 indicates that 50% of AOs indicated that undergraduate study in business or contracting related course was at least somewhat important contrary to how COs responded. Additionally, AO were asked to rate the effectiveness of certain undergraduate degrees. Figure 15 indicates that undergraduate study in Accounting, Economics, or law is beneficial to the contracting officer selection.

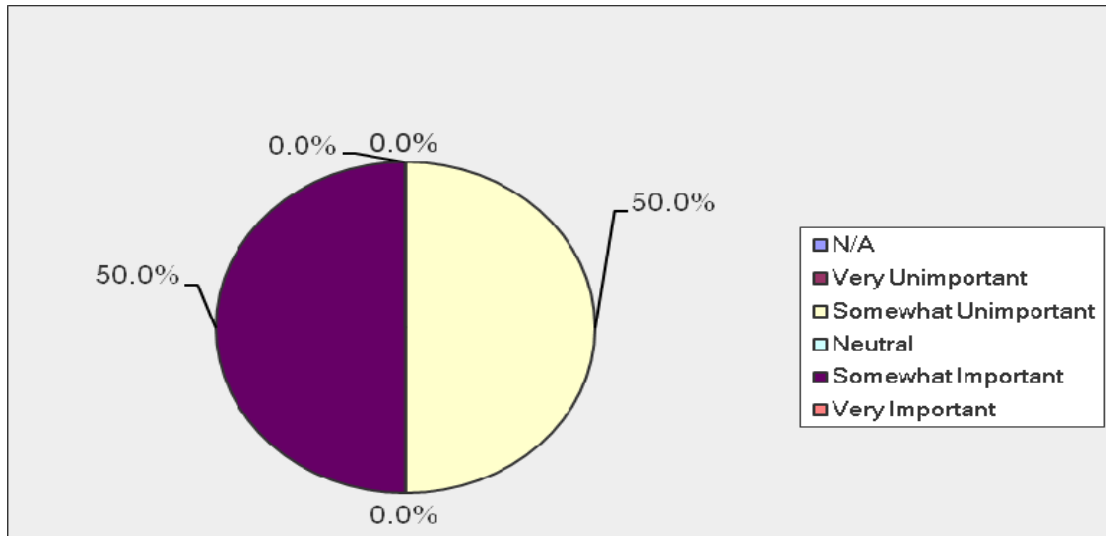


Figure 14. Importance of business or contracting related undergraduate work to warranting

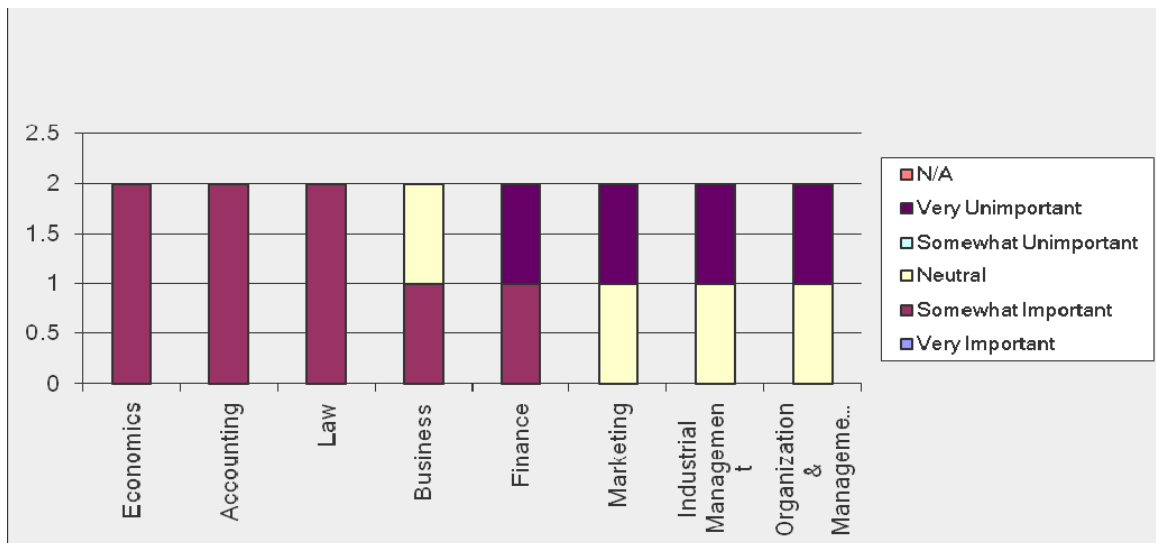


Figure 15. Beneficial courses of study for warranting

c. Training

One primary assumption was made by the researchers. They assumed that each warranted contracting officer had completed all DAWIA training requirements up to their individual contract warrant level. These training requirements include DAU classes

or their equivalents. Therefore, it was unnecessary to address the minimal amount of required training. Instead, the researchers focused on DAWIA additional recommended courses.

With training as the only qualification factor, the classification of the CO is very similar to the composite picture presented with education or experience due to each CO meeting the required DAWIA standards for qualification. Training has no additional impact upon the warranting selection criteria. However, as presented in Figure 16, Contracting Officers indicate that 61% of the additional DAWIA courses range from somewhat-not-important to not-applicable with only 40% indicating neutral or higher importance for the additional courses. Additionally, only 20% of respondents indicated that these DAU course are at least somewhat important.

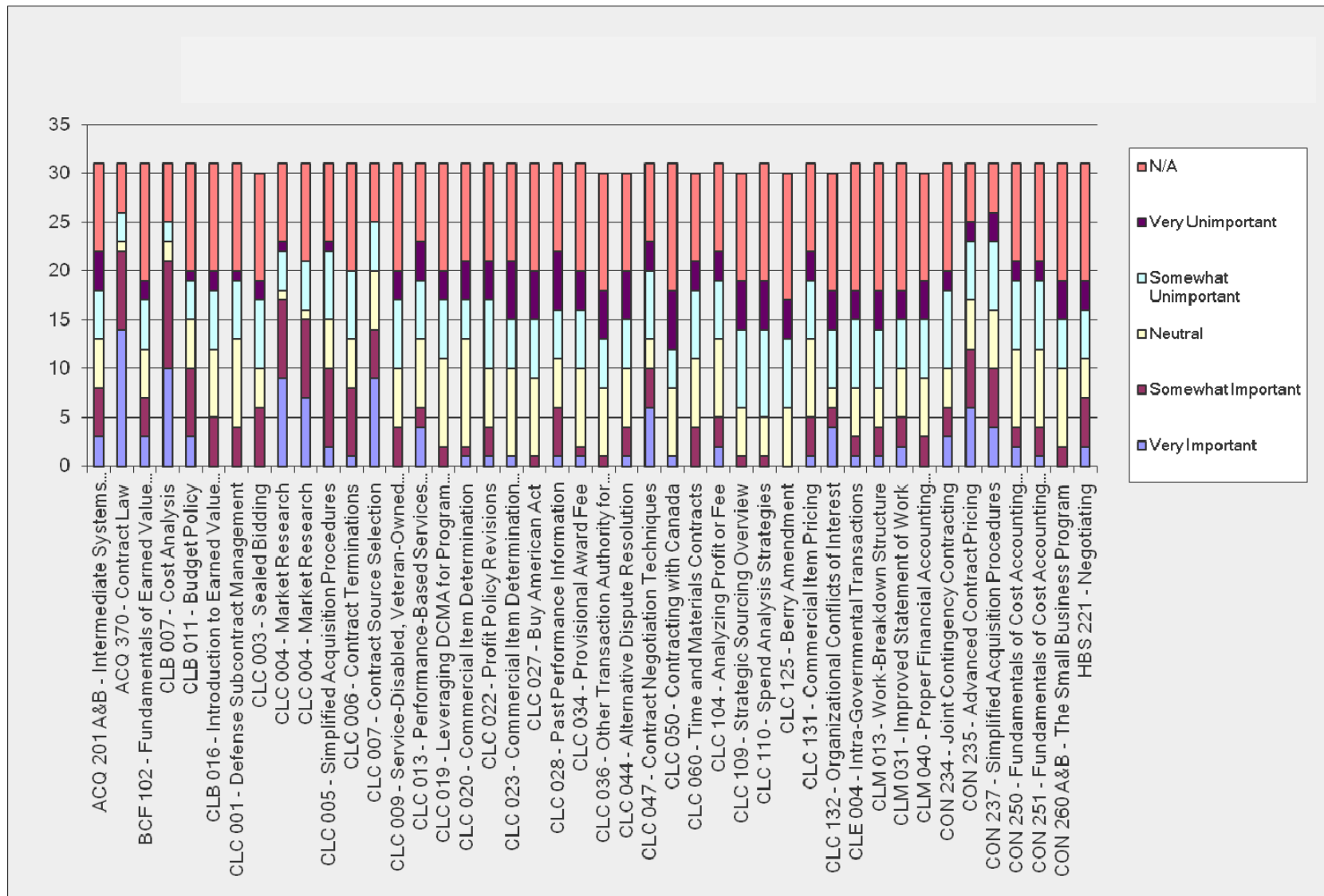


Figure 16. Applicability of DAU courses to current position

(1) Recommendations. According to Figure 17; 40% of COs indicated that training is mandatory for the selection of warranted COs and an additionally 33% indicated that it was very important. However, very few additional courses above the DAWIA minimum were considered prerequisites for qualification as a CO. Of the courses surveyed, six courses were graded as at least somewhat important by 30% or more of the respondents: Contract Law, Cost Analysis, Market Research, Contract Source Selection, Simplified Acquisition Procedures, and Contract Negotiation Techniques. Regardless of the low importance of the DAWIA optional courses, the respondents indicated that consistent refresher training is desirable to at least update or maintain necessary skills.

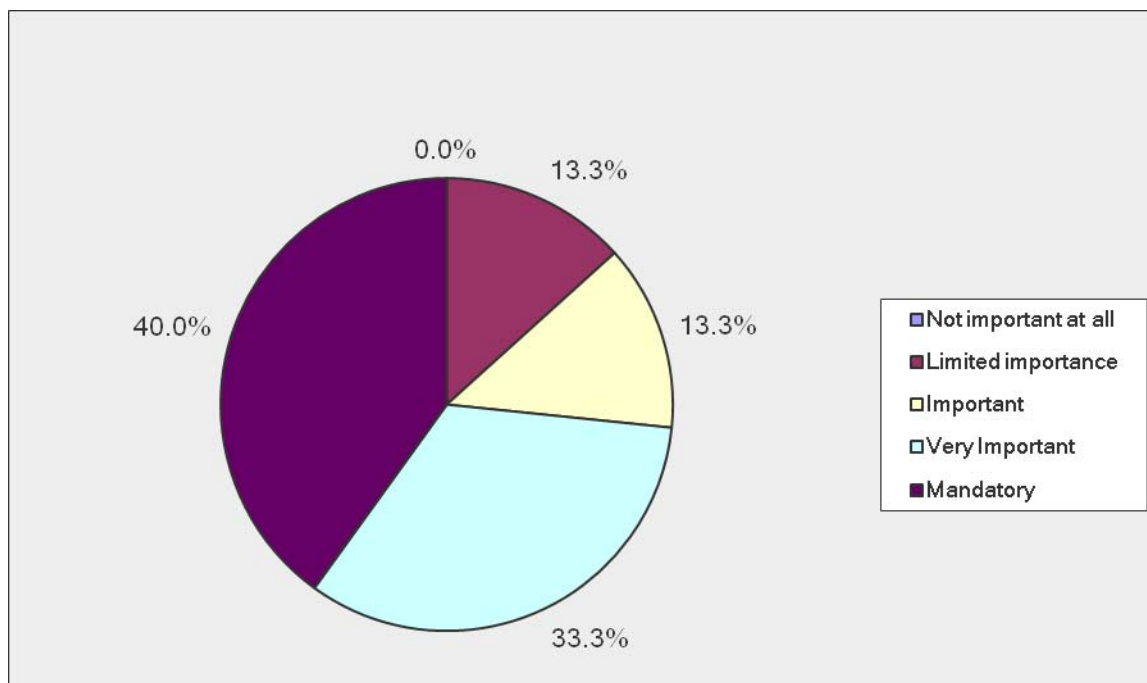


Figure 17. How important is TRAINING to warranting?

On the other hand, Appointing Officials had a different take on Training as a criterion for selection. According to Figure 18, AOs were split on the importance of training as a selection criterion. Additionally, AOs had a slightly different set of important alternative DAWIA required courses. Figure 19 indicates that the majority of AOs found the following course at least somewhat important: Contract Law, Cost Analysis, Market Research, Contract

Source Selection, Commercial Item Determination, Analyzing Profit or Fee, Improved Statement of Work, Simplified Acquisition Procedures, and Fundamentals of Cost Accounting.

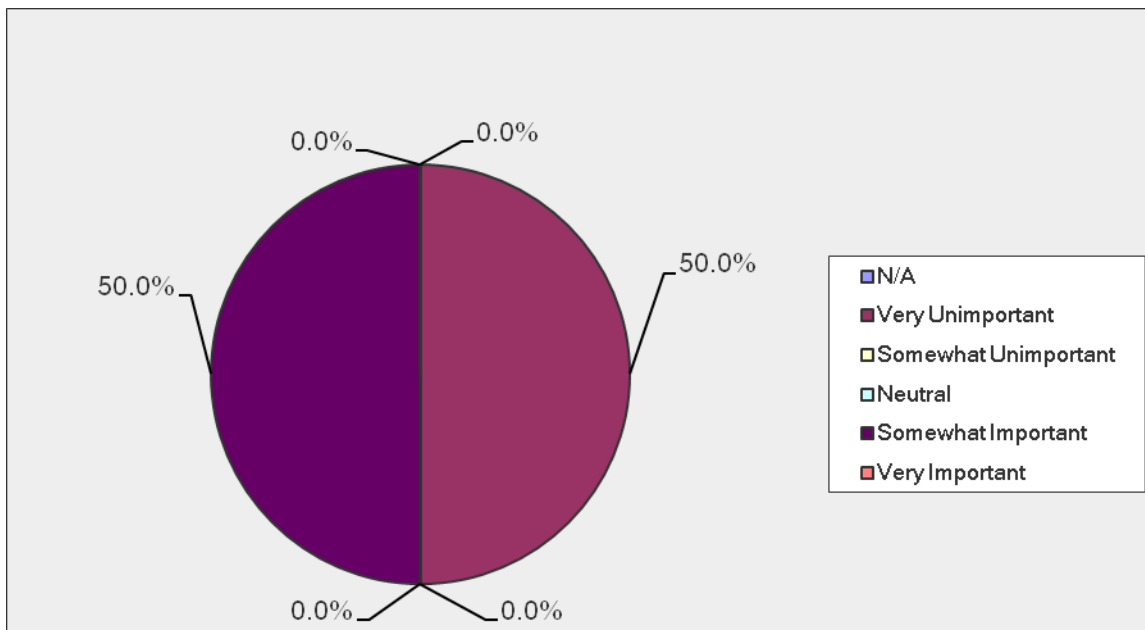


Figure 18. How important is prior TRAINING as a qualification criterion for selecting contracting officers?

Warranting requirements differ greatly among the activities. Their selection criteria differ between interviews or thorough reviews of the COs employment record, including references, employment history, and quality of work. However, each activity uses education, experience, and training as the basis for their selection criteria; moreover, the importance of each category is highly fragmented, leading to the use of differentiated selection criteria. The researchers conclude that this is due to the different requirements of the Appointing Official and the different missions of each contracting activity. One noteworthy aspect is that respondents with longer employment with the activity were selected differently than those with less employment at the same activity. Indicating fragmentation based on AO rotation.

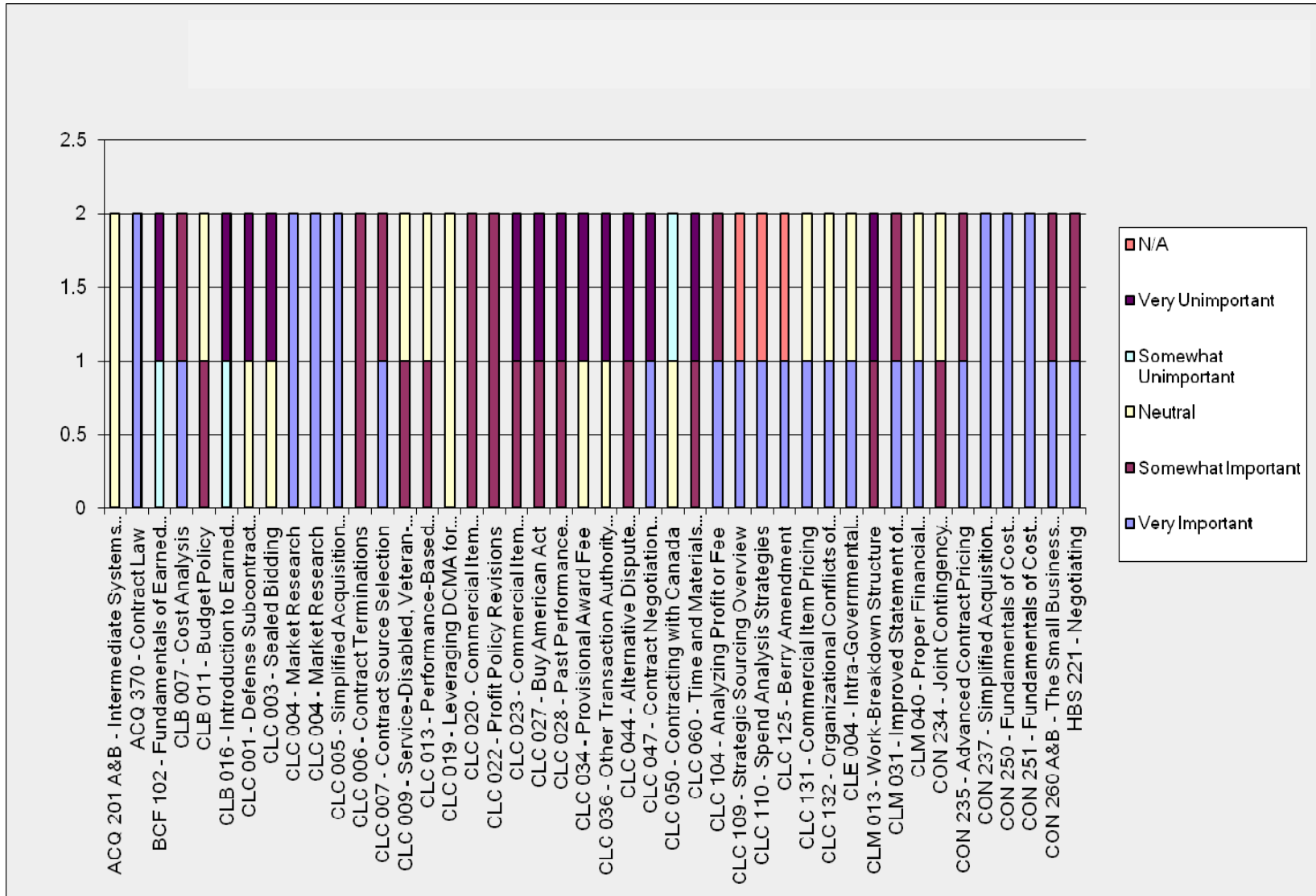


Figure 19. Applicability of DAU course to positions within your the organization

3. Does the Differentiation Lead to Gaps in Contracting Officer Knowledge?

One aspect of this research is to determine whether the DAWIA minimums and the additional requirements implemented by the contracting commands adequately prepares a perspective contracting officer for the position. To extract this data, the survey asked the CO participants the question shown in Table 2 with the following results.

The survey results suggest that 13% of contracting officers do not feel prepared for the position for which they are being warranted. Although only four participants answered “No” on the survey, five participants left comments. Most comments suggest that lack of experience is the biggest issue for new contracting officers. One Level III Unlimited participant in particular stated that when they initially received their warrant, they had “all the education and DAWIA requirements met but had never officially managed a contract.” Three of the five comments mention that they way inexperienced COs overcame their lack of experience was by discussing challenges with other COs in their organization.

Table 2. CO Survey Question 25

At the time of your selection, did you feel you were qualified to hold the position?		
Answer Options	Response Percent	Response Count
Yes	86.7%	26
No, please explain below	13.3%	4
Other (please specify)		5
<i>answered question</i>		30
<i>skipped question</i>		5

All four of the respondents who answered they did not feel qualified ranked need for experience in contracting warranting processes at or above very important, as shown in Table 20. Additionally, it is of note that all respondents to the above question determined that experience should be the bedrock of warranting qualifications (Figure 21 illustrates the responses of the participants who responded positively to whether or not they felt qualified when selected). Training was deemed by the participants as the second most important factor for qualification. Education did not fare as well. The importance

of undergraduate education was rated as less important than graduate level education. These trends make sense since the four respondent's main complaint was they did not feel they had enough experience to perform their job.

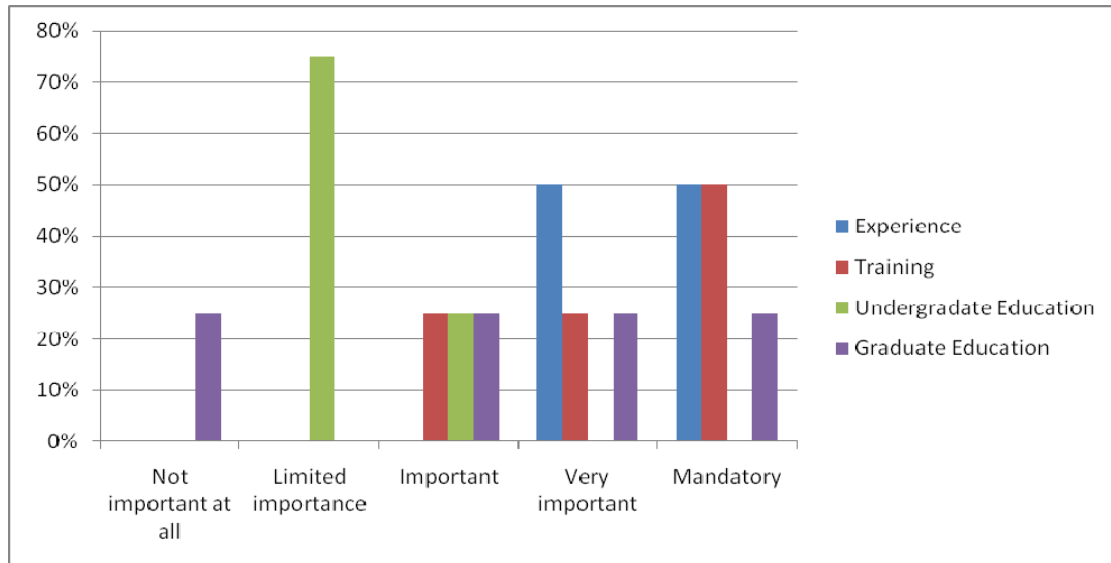


Figure 20. Negative Responses to CO Survey Question 25 vs. Experience, Training, and Education Value to Warranting

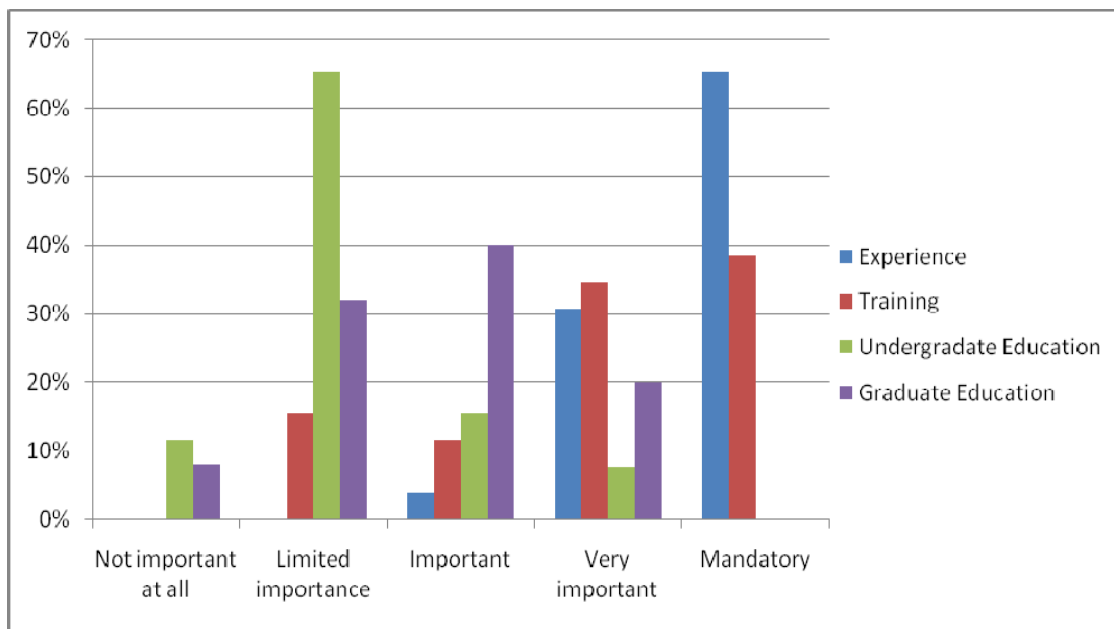


Figure 21. Positive Responses to CO Survey Question 25 vs. Experience, Training, and Education Value to Warranting

a. Recommendations

Considering today's focus on cost reduction and removing inefficiencies from the acquisition process, the US Government cannot afford to allow inexperienced COs to operate *carte blanche*. Either DAWIA or the contracting commands should institute a mentor program. The mentor program should be structured to allow up-and-coming contracting officers the opportunity to work with experienced COs within the command. This program should not be run as a typical mentor program is run where the mentor is not usually directly involved in performance but in merely a knowledge fountain to be drawn upon when needed. In this program, the prospective CO should be working as an apprentice. The prospective CO should be given enough latitude to do practice a myriad of contracting actions under the wing of a more senior CO. This would give experience to those saying they did not feel they had enough at time of warranting.

4. Do Appointing Officials Feel the Warranting Procedures Adequately Prepare Contracting Officers?

After determining if COs felt they were qualified when they received their warrant, the researchers wanted to determine if this "experience gap" the COs felt translated to the AOs opinions about the COs they qualified. To gather this data, the survey asked the AO participants the question shown in Table 3 with the listed results.

Table 3. AO Survey Question 24

At the time of selection, did you feel the officer was qualified to hold the position?		
Answer Options	Response Percent	Response Count
Yes	100.0%	2
No, please explain below	0.0%	0
Other (please specify)		1
<i>answered question</i>		2
<i>skipped question</i>		0

The data gathered from the survey suggests that AOs do not notice or acknowledge any inadequacies in their COs after warranting. This is a negative result and suggests that AOs need to further vet contracting officers.

The survey suggests that the AOs are satisfied with the COs level of knowledge. But, as Dr. Wehrle stated in her article *Certification: What It Is and What It Isn't*, a certification program must represent the values of the workforce practitioners and their supervisors. The survey data suggests that a possible perception gap may be beginning to develop between the AOs and the COs. Note that Figures 22 and 23 may appear skewed because only two AOs responded to the survey, so one response would suggest that 50% of AOs view graduate level education as very important, for example.

All general areas for qualification were examined: education (graduate and undergraduate), training, and experience. For the most part, the importance placed on each category was mirrored by the majority of the survey respondents within the AOs command. The extreme outliers are further illustrated.

Figure 22 shows the distribution of responses from AOs and COs concerning the importance of training in the warranting process at SPAWAR. As demonstrated, the priorities for training are not being communicated throughout the organization. Eighty percent of the SPAWAR COs that responded believed that completion of the DAWIA training requirements was at least important to the warranting process.

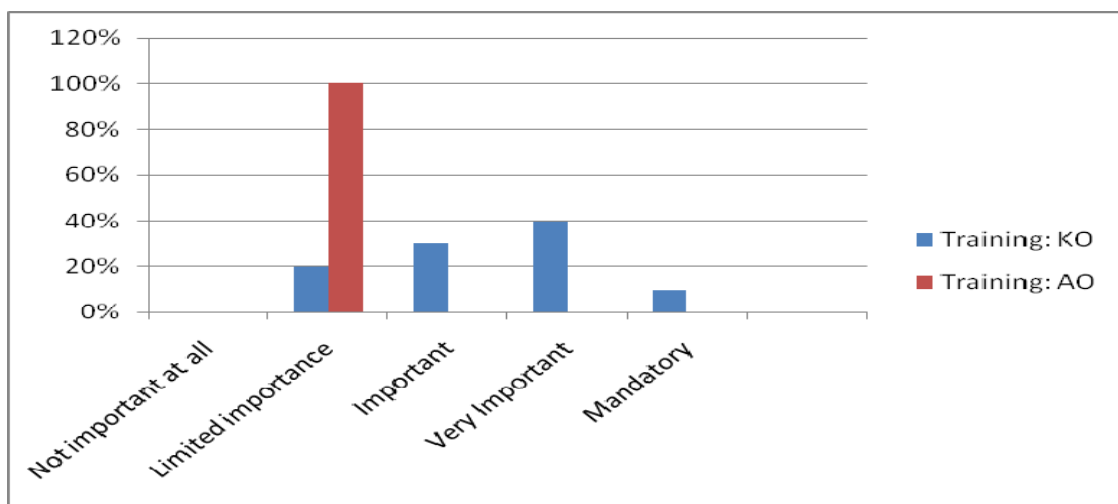


Figure 22. Training importance at SPAWAR

Figure 23 shows as similar perception disparity at COMFISCS. The AOs view undergraduate education as very important while 80% of COMFISCS COs that responded to the survey viewed it as limited to no importance.

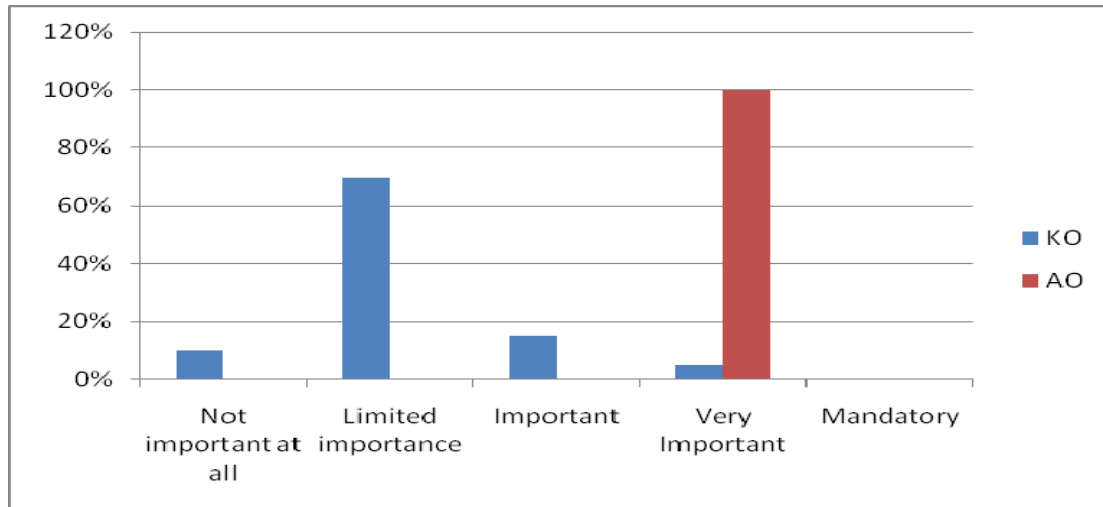


Figure 23. Undergraduate education importance at COMFISCS

a. Recommendations

The responses from the AOs do not suggest any knowledge gaps present in their COs. However, two aspects of qualification (DAWIA requires evaluation of three areas: education, training, and experience) are showing a potential divergence which may result in lengthening the qualification time because perspective COs may focus on areas that are not the priorities of the AO. This divergence can be easily corrected by organizations redefining their priorities and focus.

5. Are There Recommended Improvements to Warranting Procedures?

The final research question was established in an attempt to elicit ideas for potential improvement to the warranting process. The AOs were the only respondents specifically asked to recommend additions to the process. Interestingly, both AOs that responded to the survey both recommended the use of reference checks prior to warranting. One AO specifically said “Reference Checks are critical.” Additionally, both comments suggest that warranting is “not a 1 size fit all [process].” The process

used by an organization warrants is based upon the anticipated work the contracting officer will be doing, the type of contracts the CO will be working on, and the needs of the organization.

Finally, it was noted that it may be helpful to Level I and possibly Level II COs to develop a structured, consistent warranting path. If a standardized qualification path can be developed, then the entry-level CO positions could serve truly as learning position.

C. SUMMARY

This chapter responded to the findings of surveys administered by the researchers, answered the research questions based on the survey results and data provided, and compared this information with published instruction from each of the contracting activities. Additionally, these findings were compared with DAWIA standards and recommendations. According to the data collected from the sample approximately 3% of the workforce should be completely ineligible for their present position and additionally 19% were found to be under qualified for their current positions. If selection components are considered separately, COs mainly (78%) fall into the advanced level CO category for experience and education; however, training requirements met the minimum standards (per DAWIA) and as shown in the chapter. According to AOs and COs within the workforce, no additional DAU training courses, or equivalents, are necessary.

Additionally, this chapter discussed whether the DAWIA minimums and the additional requirements implemented by the contracting commands adequately prepared a perspective contracting officer for the position. According to the survey results, 13% of sample contracting officers do not feel prepared for the position which they are being warranted. The underlying reasoning for their apprehension was the lack of relevant experience prior to warranting.

The next chapter will conclude the research. It will provide a summary of the research questions and discuss the limitations of the data and its implications. Finally, it will provide areas for further research.

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V. CONCLUSION AND RECOMMENDATIONS

The primary objective of this research project was to determine the “unwritten” contracting officer qualification requirements in Navy contracting activities; qualification steps that specific commands or AOs may require above and beyond minimums established by statute. Additionally, this research attempted to determine whether or not the current warranting procedures leave perceived knowledge deficits in the COs. The previous chapters provided background leading to these research objectives. Chapter III discussed how the survey was developed and the overall thought process. Chapter IV discussed the findings from the survey and provided the answers to the research questions. This chapter will provide a summary of the research questions, conclude the project, and provide areas for further research.

A. RESEARCH SUMMARY

This research attempted to provide an in-depth analysis of the warranting processes within Navy contracting activities. Furthermore, this research sought to identify the methodologies and inconsistencies in the warranting process. In order to conduct this analysis, the researchers attempted to administer a survey to COMFISCS, NAVAIR, NAVSEA, and SPAWAR. Unfortunately, only two of the four commands participated in the survey. Response from only two activities limits the scope of the research. Within the participating commands only two AOs responded, this was not a significant sample of AOs; therefore, the conclusions drawn could be inconsistent with the population.

The researchers posed the following five questions summarized below.

1. What Are the Warranting Requirements for COMFISCS, NAVAIR, NAVSEA, and SPAWAR?

After review of the activities published instructions, the researchers determined that there was no standardized requirement beyond the DAWIA minimums. Therefore, the researchers solicited input from the activities AOs and COs via survey. The survey

indicated fragmentation in the selection process between the activities with some AOs simply “handing out” warrants and others practicing some sort of substantial review of the COs employment record.

Additionally, the researchers did not find a requirement for interviews or examinations within each activity’s procedures. However, a substantial number of respondents were interviewed by various levels of management and half of responding AOs require an interview as selection criteria. An examination, written or oral, was not required by any activity.

2. Do Warranting Requirements Differ Greatly? If So, How Do They Differ?

Warranting requirements do differ greatly between the activities. Their selection criteria also differ between interviews or thorough reviews of the perspective COs employment record, including references, employment history, and quality of work. However, each activity uses DAWIA established minimums as the basis for their selection criteria; moreover, the importance of each category is highly fragmented, leading to the use of differentiated selection criteria between activities. The researchers conclude that this is due to the different requirements of the Appointing Official and the different missions of each contracting activity. One noteworthy aspect is that respondents with longer employment with the activity were selected differently than those with less employment at the same activity. These finding indicate fragmentation of the qualification process based on AO rotation.

3. Do Contracting Officers Feel the Warranting Procedure Leaves Gaps in Their Knowledge?

The survey indicates that approximately one out of twenty COs do not feel they are qualified for the position when initially warranted. The survey results suggest that lack of experience is the biggest issue for new contracting officers.

4. Do Appointing Officials Feel the Warranting Procedures Adequately Prepare Contracting Officers?

The data gathered from the survey suggests that AOs do not notice or acknowledge any inadequacies in their COs after warranting. This is a negative result and suggests that AOs need to further vet contracting officers.

5. Are There Recommended Improvements to Warranting Procedures?

The survey responses indicated that the fragmented warranting process might, in fact, be appropriate. The AOs noted that warranting is not a “one size fits all” evolution, but junior contracting officers could benefit from a more structured approach to qualification.

B. CONCLUSION

Ultimately, the data from this survey did not cover as wide a population of contracting officers within the Navy as the researchers had hoped. However, according to the data studied in this research, approximately 22% of current contracting officers are underqualified for the positions they hold. Such a large portion of underqualified COs in this study could indicate a possible trend of underqualified personnel within Navy contracting. Therefore, it is recommended that ASN(RD&A) implement a survey across the entire population of COs in order to elicit information pertaining to the qualification of current contracting officers. Due to similarities between the Navy and Army contracting systems, communities, and procedures, this potential trend could indicate a similar situation as identified by the Gansler Commission. The Gansler Commission report discovered that approximately 62% of COs in the Army’s Contracting System were underqualified. (USA, 2007)

The Gansler report made several recommendations. Two applicable to this research are “increase[ing] the...career development of the Army’s personnel” (USA, 2007) and “provid[ing] the necessary training and tools...” (USA, 2007). It is important to note that the Gansler report was commissioned to investigate contracting in expeditionary locations (Iraq and Afghanistan) and subsequently is targeted toward military personnel. This study suggests that Navy review of CO qualifications should not

be so limited. Even if a small percentage of Navy Contracting Officers turn out to be underqualified, the researchers believe that employing the Gansler Commission's recommendations would add value to Navy contracting.

This research project was limited because of time, response rate, and other factors. The researchers concluded the data was relevant but not sufficient to draw any significant conclusions and recommendations. The data is useful for developing the contracting officer warranting environment. The survey data coupled with command instructions provided interesting insight into the methodology and practices of Navy Contracting.

The research was limited for a couple of reasons. First, only two of the four contracting commands opted to participate in the survey. This restricts the research because the majority of Navy contracting commands were not surveyed. Secondly, both CO and AO samples were small. The entire AO and CO populations at the different commands were unknown therefore, an adequate sample was difficult to determine. This hinders the scope of the research. Finally, of the respondents, the majority were experienced senior level contracting officers (DAWIA Level III) which may have skewed the data. Within the small samples, the survey was completed by a specific group and did not represent a broad range of opinion.

Given the limited nature of the data, the researchers discovered that there is no standard process for warranting contracting officers. The participants did not indicate that a standardized process was required or desired because of the different skill sets necessary. In fact, one AO specifically said, "It is not a 1 size fit all approach." Additionally, the survey respondents suggested that the Navy contracting command use a job interview type approach to awarding contracting warrants.

C. AREAS OF FURTHER RESEARCH

If others desire to continue this line of research, the authors have some recommendations. First, upper echelon endorsement is essential. Second, when requesting permission to survey an organization, meet face-to-face. Finally, if running into obstacles, get the project advisors involved.

By upper echelon, it is meant the next step up in the chain of command. Upper echelon endorsement is necessary because it will help ensure a significant response rate. While this research team received permission and assurances for the distribution of the survey link, response to the survey was less than desirable. If higher authority is excited and has a stake in the project, the participants will potentially be more likely to provide the data needed.

The authors contacted the Lead Contracting Executives for each of the agencies via telephone and e-mail. Although this was sufficient to get the surveys distributed, it was not relay the importance of the survey. A face-to-face meeting would have helped foster leadership excitement, justify project relevancy, and ensure better command support.

Active involvement of both advisors is recommended especially during the solicitation for survey participation. Advisor assistance could offer an alternative contact route for commands. Through these alternative routes, advisors may be able to exert more influence in the distribution and completion of the survey instrument.

If the above suggestions are implemented, the research team must be careful that survey respondents are not coerced into participating. This is a fine line that must be maintained for the integrity of the research.

There are several areas recommended for further research:

- 1- Expand to other military services and federal agencies.

This research was limited to four activities within the Department of the Navy. Expansion could illuminate other inconsistencies, best practices, and methodologies.

- 2- Conduct a drill down on individual agencies with the services.

This research was designed to provide an overview of practices within the Department of the Navy. A drill down could provide more details about contract warranting within individual organizations.

- 3- Effects of standardized procedures on contracting activities across different federal agencies.

This research was confined to current practices within DoN. It does not apply a developed standardized procedure to the activities. Such a method could produce efficiencies and consistencies within the warranting procedure.

APPENDIX A. DAU CERTIFICATION STANDARDS

Table 4. Certification Standards & Core Plus Development Guide Contracting Level 1 from DAU,
<http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=1&cflid=3>

Type of Assignment	Representative Activities
1-Operational Contracting	<ul style="list-style-type: none"> Contracting functions in support of post, camp or stations
2-Research and Development	<ul style="list-style-type: none"> Contracting functions in support of research and development
3-Sys Acquisition	<ul style="list-style-type: none"> Contracting functions in support of systems acquisition to include all ACAT programs
4-Logistics & Sustainment	<ul style="list-style-type: none"> Contracting functions performed by the Defense Logistics Agency or by other offices to sustain weapon systems
5-Construction /A&E	<ul style="list-style-type: none"> Contracting functions in support of construction and/or architect and engineering services
6-Contingency /Combat Ops	<ul style="list-style-type: none"> Contracting functions performed in a contingency or combat environment
7-Contract Admin Office	<ul style="list-style-type: none"> Contracting function is primarily focused on contract administration
8-Contract Cost/Price Analyst	<ul style="list-style-type: none"> Contracting function is primarily focused on advanced cost/price analysis
9-Small Bus Specialist	<ul style="list-style-type: none"> Contracting function is primarily focused on advising small businesses or on strategies for maximizing use of small business
10-Other	<ul style="list-style-type: none"> Contracting functions that perform a variety of assignments or are at a headquarters, secretariat. Or OSD

Core Certification Standards (Required for DAWIA certification)	
Acquisition Training	<ul style="list-style-type: none"> None required
Functional Training	<ul style="list-style-type: none"> CON 100 Shaping Smart Business Arrangements CON 110 Mission-Support Planning CON 111 Mission Strategy Execution CON 112 Mission-Performance Assessment CON 120 Mission-Focused Contracting (R) CLC 033 Contract Format and Structure for DoD eBusiness Environment Effective 1 Oct 2010, the following course is also required: CON 090 Federal Acquisition Regulation (FAR) Fundamentals (R) Personnel serving in OCC Series 1102 and Military Equivalents in DoD on 30 Sep 2010 are exempt from CON 090 through 30 September 2012.
Education	<ul style="list-style-type: none"> At least 24 semester hours in accounting, law, business, finance,

	contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management
	<ul style="list-style-type: none"> Baccalaureate degree (Any Field of Study)
Experience	<ul style="list-style-type: none"> 1 year of contracting experience

Unique Position Training Standards	
Level 1 Contracting Personnel Assigned to support a MDAP/MAIS program	<ul style="list-style-type: none"> <u>ACQ 101</u> Fundamentals of Systems Acquisition Management

Core Plus Development Guide (Desired training, education, and experience)	Type of Assignment									
Training	1	2	3	4	5	6	7	8	9	10
CLC 003 Sealed Bidding	X			X	X					
CLC 004 Market Research	X	X	X	X	X	X	X	X	X	X
CLC 005 Simplified Acquisition Procedures	X	X	X	X	X	X	X		X	X
CLC 009 Service-Disabled, Veteran-Owned Small Business Program	X	X	X	X	X	X	X		X	X
CLC 020 Commercial Item Determination	X	X	X	X	X	X	X	X	X	X
CLC 024 Basic Math Tutorial	X	X	X	X	X	X	X	X		X
CLC 028 Past Performance Information	X	X	X	X	X	X	X		X	X
CLC 030 Essentials of Interagency Acquisitions/Fair Opportunity	X	X	X	X	X	X	X	X	X	X
CLC 043 Defense Priorities and Allocations System	X	X	X	X	X	X	X		X	X
CLC 045 Partnering	X	X	X	X	X	X	X			X
CLC 046 Green Procurement	X	X	X	X	X	X	X	X	X	X
CLC 054 Electronic Subcontracting Reporting System (eSRS)	X	X	X	X	X	X	X	X	X	X
CLC 060 Time and Materials Contracts	X	X	X	X	X	X	X	X	X	X
CLC 105 DCMA Intern Training							X			
CLC 113 Procedures, Guidance, and Information	X	X	X	X	X	X	X	X	X	X
CLC 131 Commercial Item Pricing	X	X	X	X			X	X		X
CLC 132 Organizational Conflicts of Interest	X	X	X	X	X	X	X	X	X	X
CLC 133 Contract Payment Instructions	X	X	X	X	X	X	X	X	X	X
CLE 043 Online Representations & Certifications Application (OCRA)	X	X	X	X	X	X	X	X	X	X

CLE 044 Intra-Governmental Transactions	X	X	X	X	X	X	X	X	X	X
CLG 001 DoD Government Purchase Card	X	X	X	X	X	X	X	X	X	X
CLG 004 DoD Government Purchase Card Refresher Training	X	X	X	X	X	X	X	X	X	X
CLM 023 Javits-Wagner-O'Day (JWOD) Tutorial	X	X	X	X	X	X	X		X	X
CON 237 Simplified Acquisition Procedures	X	X	X	X	X	X	X		X	X
CON 243 Architect-Engineer Contracting (R)					X					
CON 244 Construction Contracting (R)					X					
CLE 044 Intra-Governmental Transactions	X	X	X	X	X	X	X		X	X
CLG 001 DoD Government Purchase Card	X	X	X	X	X	X	X	X	X	X
Education										
• None specified										
Experience										
• None specified										

Notes:

1 The Core Certification Standards section lists the training, education and experience REQUIRED for certification at this level.

2 "R" following a course title indicates the course is delivered as resident based instruction.

3 When preparing your IDP, you and your supervisor should consider the training, education and experience listed in this Core Plus Development Guide if not already completed.

7 Workforce members assigned to the position(s) identified in the Unique Position Training Standards section should meet the training standard(s) identified within 1 year of assignment.

12 See 10 U.S.C. 1724 (provides for limited exceptions).

13 Some continuous learning (CL) modules have been created by extracting lessons in their entirety from a training course. If this is the case for the CL module(s) identified in the above core certification standards, the course the CL module was extracted from is identified in the "Notes" section of the CL course description and the course can be substituted to meet the certification standard.

Table 5. Certification Standards & Core Plus Development Guide Contracting Level 2 from DAU,
<http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=2&cflid=3>

Type of Assignment	Representative Activities
1-Operational Contracting	<ul style="list-style-type: none"> Contracting functions in support of post, camp or stations
2-Research and Development	<ul style="list-style-type: none"> Contracting functions in support of research and development
3-Sys Acquisition	<ul style="list-style-type: none"> Contracting functions in support of systems acquisition to include all ACAT programs
4-Logistics & Sustainment	<ul style="list-style-type: none"> Contracting functions performed by the Defense Logistics Agency or by other offices to sustain weapon systems
5-Construction /A&E	<ul style="list-style-type: none"> Contracting functions in support of construction and/or architect and engineering services
6-Contingency /Combat Ops	<ul style="list-style-type: none"> Contracting functions performed in a contingency or combat environment
7-Contract Admin Office	<ul style="list-style-type: none"> Contracting function is primarily focused on contract administration
8-Contract Cost/Price Analyst	<ul style="list-style-type: none"> Contracting function is primarily focused on advanced cost/price analysis
9-Small Bus Specialist	<ul style="list-style-type: none"> Contracting function is primarily focused on advising small businesses or on strategies for maximizing use of small business
10-Other	<ul style="list-style-type: none"> Contracting functions that perform a variety of assignments or are at a headquarters, secretariat. Or OSD

Core Certification Standards (Required for DAWIA certification)	
Acquisition Training	<ul style="list-style-type: none"> <u>ACQ 101</u> Fundamentals of Systems Acquisition Management
Functional Training	<ul style="list-style-type: none"> <u>CON 214</u> Business Decisions for Contracting <u>CON 215</u> Intermediate Contracting for Mission Support (R) <u>CON 216</u> Legal Considerations in Contracting <u>CON 217</u> Cost Analysis and Negotiation Techniques (R) <u>CON 218</u> Advanced Contracting for Mission Support (R)
Education	<ul style="list-style-type: none"> At least 24 semester hours in accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management Baccalaureate degree (Any Field of Study)
Experience	<ul style="list-style-type: none"> 2 years of contracting experience

Unique Position Training Standards	
Level II Contracting Personnel Assigned to support a MDAP/MAIS program	<ul style="list-style-type: none"> • <u>ACQ 201A</u> Intermediate Systems Acquisition, Part A • <u>ACQ 201B</u> Intermediate Systems Acquisition, Part B (R)

Core Plus Development Guide (Desired training, education, and experience)	Type of Assignment									
Training	1	2	3	4	5	6	7	8	9	10
<u>ACQ 265</u> Mission-Focused Services Acquisition (R)	X	X	X	X	X	X	X	X		X
<u>CLC 001</u> Defense Subcontract Management	X	X	X	X	X	X	X		X	X
<u>CLC 006</u> Contract Terminations	X	X	X	X	X	X	X			X
<u>CLC 007</u> Contract Source Selection	X	X	X	X	X	X	X	X	X	X
<u>CLC 008</u> Indirect Costs		X	X				X	X		X
<u>CLC 013</u> Performance-Based Services Acquisition	X	X	X	X	X	X	X	X		X
<u>CLC 019</u> Leveraging DCMA for Program Success			X				X			X
<u>CLC 022</u> Profit Policy Revisions	X	X	X	X	X	X	X	X	X	X
<u>CLC 026</u> Performance-Based Payments Overview	X	X	X	X	X	X	X	X	X	X
<u>CLC 027</u> Buy American Act	X	X	X	X	X	X	X	X	X	X
<u>CLC 031</u> Reverse Auctioning	X			X						
<u>CLC 034</u> Provisional Award Fee	X	X	X				X			
<u>CLC 035</u> Other Transaction Authority for Prototype Projects: Comprehensive Coverage		X	X				X			
<u>CLC 036</u> Other Transaction Authority for Prototype Projects Overview	X	X	X	X	X	X	X	X	X	X
<u>CLC 037</u> A-76 Competitive Sourcing Overview	X									X
<u>CLC 039</u> Contingency Contracting Simulation: Barda Bridge						X				
<u>CLC 040</u> Predictive Analysis and Scheduling			X				X			X
<u>CLC 041</u> Predictive Analysis and Systems Engineering		X	X				X			X
<u>CLC 042</u> Predictive Analysis and Quality Assurance			X				X			X
<u>CLC 044</u> Alternative Dispute Resolution	X	X	X	X	X	X	X			X

<u>CLC 047</u> Contract Negotiation Techniques	X	X	X	X	X	X	X	X	X	X
<u>CLC 050</u> Contracting with Canada	X	X	X	X	X	X	X	X	X	X
<u>CLC 102</u> Administration of Other Transactions		X	X				X			
<u>CLC 103</u> Facilities Capital Cost of Money	X	X	X	X	X	X	X	X		X
<u>CLC 104</u> Analyzing Profit or Fee	X	X	X	X	X	X	X	X		X
<u>CLC 107</u> OPSEC Contract Requirements	X	X	X	X	X	X	X			X
<u>CLC 108</u> Strategic Sourcing Overview	X	X	X	X	X	X	X	X	X	X
<u>CLC 110</u> Spend Analysis Strategies	X	X	X	X	X	X	X	X	X	X
<u>CLC 112</u> Contractors Accompanying the Force	X	X	X	X	X	X	X			X
<u>CLC 114</u> Contingency Contracting Officer Refresher						X				
<u>CLC 120</u> Utilities Privatization Contract Administration							X			
<u>CLC 125</u> Berry Amendment	X		X	X	X	X	X			X
<u>CLM 013</u> Work-Breakdown Structure			X				X	X		
<u>CLM 031</u> Improved Statement of Work	X	X	X	X	X	X				
<u>CLM 032</u> Evolutionary Acquisition			X				X			
<u>CLM 038</u> Corrosion Prevention and Control Overview	X	X	X	X	X	X	X			X
<u>CLM 040</u> Proper Financial Accounting Treatments for Military Equipment	X	X	X	X	X	X	X	X		X
<u>CLM 200</u> Item-Unique Identification	X	X	X	X	X	X	X	X	X	X
<u>CON 232</u> Overhead Management of Defense Contracts (R)		X	X				X	X		
<u>CON 234</u> Joint Contingency Contracting (R)						X				
<u>CON 235</u> Advanced Contract Pricing (R)			X	X				X		X
<u>CON 250</u> Fundamentals of Cost Accounting Standards—Part I (R)		X	X				X	X		
<u>CON 251</u> Fundamentals of Cost Accounting Standards—Part II (R)		X	X				X	X		
<u>CON 260A</u> The Small Business Program, Part A									X	
<u>CON 260B</u> The Small Business Program, Part B (R)									X	
<u>GRT 201</u> Grants and Agreements Management (R)		X					X			
<u>HBS 221</u> Negotiating	X	X	X	X	X	X	X	X	X	X

HBS 223 Presentation Skills	X	X	X	X	X	X	X	X	X	X
HBS 229 Team Leadership	X	X	X	X	X	X	X	X	X	X
HBS 239 Team Management	X	X	X	X	X	X	X	X	X	X
IND 100 Contract Property Administration and Disposition Fundamentals (R)		X	X	X			X			
Education										
<ul style="list-style-type: none"> Graduate studies in business administration or procurement 										
Experience										
<ul style="list-style-type: none"> Two (2) additional [years] of contracting experience 										

Notes:

1 The Core Certification Standards section lists the training, education and experience REQUIRED for certification at this level.

2 "R" following a course title indicates the course is delivered as resident based instruction.

5 When preparing your IDP, you and your supervisor should consider the training, education and experience listed in the Core Plus Development Guide at this and the lower level(s) if not already completed.

12 See 10 U.S.C. 1724 (provides for limited exceptions).

14 Workforce members assigned to the position(s) identified in the Unique Position Training Standards section should meet the training standard(s) identified within 6 months of assignment.

Table 6. Certification Standards & Core Plus Development Guide Contracting Level 3 from DAU,
<http://icatalog.dau.mil/onlinecatalog/CareerLvl.aspx?lvl=3&cflid=3>

Type of Assignment	Representative Activities
1-Operational Contracting	<ul style="list-style-type: none"> Contracting functions in support of post, camp or stations
2-Research and Development	<ul style="list-style-type: none"> Contracting functions in support of research and development
3-Sys Acquisition	<ul style="list-style-type: none"> Contracting functions in support of systems acquisition to include all ACAT programs
4-Logistics & Sustainment	<ul style="list-style-type: none"> Contracting functions performed by the Defense Logistics Agency or by other offices to sustain weapon systems
5-Construction /A&E	<ul style="list-style-type: none"> Contracting functions in support of construction and/or architect and engineering services
6-Contingency /Combat Ops	<ul style="list-style-type: none"> Contracting functions performed in a contingency or combat environment
7-Contract Admin Office	<ul style="list-style-type: none"> Contracting function is primarily focused on contract administration
8-Contract Cost/Price Analyst	<ul style="list-style-type: none"> Contracting function is primarily focused on advanced cost/price analysis
9-Small Bus Specialist	<ul style="list-style-type: none"> Contracting function is primarily focused on advising small businesses or on strategies for maximizing use of small business
10-Other	<ul style="list-style-type: none"> Contracting functions that perform a variety of assignments or are at a headquarters, secretariat. Or OSD

Core Certification Standards (Required for DAWIA certification)	
Acquisition Training	<ul style="list-style-type: none"> <u>ACQ 201A</u> Intermediate Systems Acquisition, Part A
Functional Training	<ul style="list-style-type: none"> <u>CON 353</u> Advanced Business Solutions for Mission Support (R) 1 additional course from the Harvard Business Management Modules
Education	<ul style="list-style-type: none"> At least 24 semester hours in accounting, law, business, finance, contracts, purchasing, economics, industrial management, marketing, quantitative methods, or organization and management Baccalaureate degree (Any Field of Study)
Experience	<ul style="list-style-type: none"> 4 years of contracting experience

Unique Position Training Standards											
Level III Contracting Personnel assigned to or devoting at least 50% of their time in support of a MDAP/MAIS program	• <u>ACQ 201B</u> Intermediate Systems Acquisition, Part B (R)										
Core Plus Development Guide (Desired training, education, and experience)	Type of Assignment										
Training	1	2	3	4	5	6	7	8	9	10	
<u>ACQ 201B</u> Intermediate Systems Acquisition, Part B (R)	X	X	X	X	X	X	X	X	X	X	
<u>ACQ 370</u> Acquisition Law (R)	X	X	X	X	X	X	X			X	
<u>BCF 102</u> Fundamentals of Earned Value Management			X				X				
<u>CLB 007</u> Cost Analysis	X	X	X	X	X	X	X	X		X	
<u>CLB 011</u> Budget Policy			X								
<u>CLB 016</u> Introduction to Earned Value Management			X		X		X				
<u>CLC 004</u> Market Research	X	X	X	X			X	X		X	
<u>CLC 023</u> Commercial Item Determination Executive Overview	X	X	X	X	X	X	X	X	X	X	
Education											
• Graduate studies in business administration or procurement											
Experience											
• Four (4) additional years of contracting experience											

Notes:

1 The Core Certification Standards section lists the training, education and experience REQUIRED for certification at this level.

2 "R" following a course title indicates the course is delivered as resident based instruction.

5 When preparing your IDP, you and your supervisor should consider the training, education and experience listed in the Core Plus Development Guide at this and the lower level(s) if not already completed.

12 See 10 U.S.C. 1724 (provides for limited exceptions).

14 Workforce members assigned to the position(s) identified in the Unique Position Training Standards section should meet the training standard(s) identified within 6 months of assignment.

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APPENDIX B. COMFISCS WARRANT LEVEL MATRIX AND WARRANTING PROCESS

Table 7. COMFISCS Standard Warrant Levels Matrix from Source: Commander, Fleet Industrial Supply Centers (COMFISCS). (2008, January). *COMFISCS Standard Warranting Procedures*.

Warrant Level	Warrant Dollar Authority	Minimum Experience, Training and Education Requirements
A	\$25,000	<p>Experience and Training: DAWIA Level I Certification for Purchasing Career Field (one year purchasing experience) or DAWIA Level I Certification for Contracting Career Field (one year contracting experience);</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>
B	\$100,000	<p>Experience and Training: DAWIA Level II Certification for Purchasing Career Field (two years purchasing experience) or DAWIA Level I Certification for Contracting Career Field (one year contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>
C	\$250,000 (may include SAP authority under FAR Part 13.5 up to warrant level)	<p>Experience and Training: DAWIA Level I or II Certification for Contracting Career Field (one or two years contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>

Warrant Level	Warrant Dollar Authority	Minimum Experience, Training and Education Requirements
D	\$500,000 (may include SAP authority under FAR Part 13.5 up to warrant level)	<p>Experience and Training: DAWIA Level I or II Certification for Contracting Career Field (one or two years contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>
E	\$1,000,000 (may include SAP authority under FAR Part 13.5 up to warrant level)	<p>Experience and Training: DAWIA Level II or III Certification for Contracting Career Field (two to four years contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>
F	\$5,000,000	<p>Experience and Training: DAWIA Level II or III Certification for Contracting Career Field (two to four years contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>
G	Unlimited	<p>Experience and Training: DAWIA Level III Certification for Contracting Career Field (four years contracting experience).</p> <p>Education: Pursuant to DoD 5000.66 for the qualifying certification level and career field of the applicant. Purchasing and Contracting Career Field Certification checklists are available in the DAU catalog at www.dau.mil.</p>

Table 8. COMFISCS Warranting Procedure from Source: Commander, Fleet Industrial Supply Centers (COMFISCS). (2008, January). *COMFISCS Standard Warranting Procedures*.

Task/Step	Description	Responsibility
1.1 Identify the need for a warrant	<p>1. Refer to Background and Definitions (Attachment 1 and 2).</p> <p>2. Upon turnover of office personnel or change in office requirements, Supervisors shall ensure personnel with appropriate warrants are available to complete work.</p> <p>3. If a new or revised warrant is appropriate, follow the procedures set forth below.</p>	Supervisor and/or CCO/Appointing Official
1.2 Requesting a new warrant	<p>This situation applies when a staff member does not have an existing warrant.</p> <p>1. Use COMFISCS Standard Warrant Levels Matrix (Attachment 3) to determine maximum warrant authority required.</p> <p>2. Complete the COMFISCS Warrant Application Form (Attachment 4). Any request for deviation shall be fully supported in writing and forwarded with the warrant application.</p> <p>3. Warrant applications for the Chief of the Contracting Office (CCO) or Alternate CCO shall use the form found at attachment (a) to enclosure (2) of [NAVSUPINST 4200.81E].</p>	Individual requesting warrant
1.3 Requesting warrant revision	<p>This situation applies when a staff member has an existing warrant but the warrant needs to be changed.</p> <p>1. Make pen and ink updates/changes to previous warrant application or e-mail request change along with any additional relevant information.</p> <p>2. Use COMFISCS Standard Warrant Levels Matrix (Attachment 3) to determine maximum warrant authority required. Any requests for deviation shall be fully supported in writing and forwarded with the warrant application.</p>	Individual requesting warrant

Task/Step	Description	Responsibility
1.4 Processing warrant request	<p>1. Review warrant application for completeness, ensuring that minimum Defense Acquisition Workforce Improvement Act (DAWIA) requirements are met and warrant level and thresholds are consistent with COMPFISCS/NAVSUP policy.</p> <p>2. Discuss and resolve any discrepancies with appropriate personnel.</p> <p>3. Document warrant file with recommendation.</p> <p>4. Upon completion of review and resolution of discrepancies, if applicable, forward request for printing of warrant (SF-1402) and cover letter to preparer.</p> <p>5. Preparer shall use the standard wording and format specified in Attachments (5) and (6) to prepare all warrants and appointment letters.</p> <p>6. Review typed warrant and appointment letter for accuracy and forward to CCO/Appointing Official for signature.</p>	Supervisor and/or CCO/Appointing Official
1.5 Issuing warrant	<p>1. Sign warrant.</p> <p>2. Make three (3) copies of warrant (SF-1402) and the appointment letter.</p> <p>3. Distribution as follows: - <u>Original SF-1402 / appointment letter</u> (To employee) - <u>One copy SF-1402 / appointment letter</u> (To employee's internal warrant file) (FISC Warrant Log) - <u>One copy SF-1402 / appointment letter</u> (To cognizant civilian or military personnel office, per [DoDI 5000.66]) - <u>One copy SF-1402 / appointment letter</u> (To LCE)</p> <p>4. Update SPS.</p>	Supervisor and/or CCO/Appointing Official
1.6 Maintain warrant	Periodically review the following records for accuracy:	CCO/Appointing Official

Task/Step	Description	Responsibility
records	<ol style="list-style-type: none"> 1. <u>Employee warrant files</u> 2. <u>Active Warrant Log</u> – Listing of all current/active warrants in effect for each FISC location per DoD Instruction 500.55 	

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APPENDIX C. NAVAIR CLASSES OF CONTRACTING OFFICER AUTHORITY

CLASS I Unlimited. Contracting officers have authority to enter into, administer or terminate contracts, grants, cooperative agreements, and other transactions under 10 United States Code (U.S.C.) 2371, and make related justifications, determinations, and findings for supplies and services within their procurement cognizance.

CLASS II Limited. Limited monetary and/or program authority may be imposed by the nominating authority in individual cases, as considered necessary or appropriate. A Class II limited warrant authorizes a contracting officer to issue or sign new contracts, grants, cooperative agreements, other transactions under 10 U.S.C. 2371, modifications to any of the foregoing, correspondence pertaining to assigned programs, as well as obligate limited funds on behalf of the government. The contracting officer may issue and sign such documents as new contracts, modifications, Justification and Approvals (J&As), Determinations and Findings (D&Fs), Acquisition Plans (APs) , stop work orders, clearances and correspondence pertaining to assigned programs.

CLASS III Limited. Limited monetary authority is imposed by the nominating authority as considered necessary or appropriate. The contracting officer may issue or sign orders and administrative actions which may include modifications, supporting document checklist, weighted guidelines, Contract Announcements, synopses, administrative letters and correspondence pertaining to assigned programs. This would generally not include documents such as J&As, D&FS, APs, stop work orders, and clearances. The contracting officer may not issue or sign new contracts but may obligate limited funds on modifications and orders to existing contracts up to the dollar limit of the appointment. Limited program authority may also be imposed as considered necessary or appropriate by the nominating authority.

CLASS IV Limited. Limited program authority may be imposed by the nominating authority in individual cases, as considered necessary or appropriate. The contracting officer may issue or sign routine administrative actions which may include no cost modifications, supporting document checklist, weighted guidelines, synopses, administrative letters and correspondence pertaining to assigned programs. This would generally not include documents such as J&As, D&Fs, APs, stop work orders, and clearances. The contracting officer may not obligate the government for any monetary amounts.

CLASS V. Reserved. Not to be used.

CLASS VI Limited. Contracting officer performs functions assigned to administrative contracting officers by applicable regulations, written instructions, or contracts issued by NAVAIR, and has authority to perform the functions described in Federal Acquisition Regulation (FAR) Subpart 42.302, and Defense Federal Acquisition Regulations

(DFARS) 242.302. Such authority applies only to NAVAIR contracts performed on military installations.

CLASS VII Limited. Authority is limited to obligations not in excess of the Simplified Acquisition Threshold (SAT). Individual warrants may be further limited to specific dollar thresholds lower than the SAT, with the exception of actions falling under FAR 8.405-1(c) (which shall not exceed the maximum order threshold for the contract vehicle). Individual warrants may be further limited to specific dollar thresholds lower than the SAT, using Simplified Acquisition Procedures (SAPs). Class VII authority is exercised following the limits set in the warrant (or letter of delegation for micro-purchases) and supplies and services will be procured following FAR 8.4 and FAR 13.1, DFARS 208.4 and 213, and references (i) and (j), as applicable. References (i) and (j) are available at [https://contracts.navair.navy.mil/index.cfm?fuseaction=admin.sectionAdmin§ion_id-122&level-1, Subjects of Interest, Simplified Acquisition](https://contracts.navair.navy.mil/index.cfm?fuseaction=admin.sectionAdmin§ion_id-122&level-1,Subjects%20of%20Interest,Simplified%20Acquisition).

APPENDIX D. TASK GROUP SIX'S MODEL SYSTEM⁶

MODEL SYSTEM FOR THE SELECTION, APPOINTMENT, AND TERMINATION OF APPOINTMENT OF CONTRACTING OFFICERS

This is a sample instruction for signature by an agency head. It was prepared with a moderate to large agency in mind. This instruction includes minimum contracting officer selection requirements, provides agency guidance, and it is intended to reflect a model of a system for implementing the requirements of Section 1.603 of the Federal Acquisition Regulation. The actual instruction utilized by an agency may be one of the products of the initial analysis of the Selection and Appointment System made by the Procurement Executive.

This instruction prescribes the rigorous training needed to develop the cadre of professional contracting officers. With respect to non-defense agencies, a passage of an Executive Order or legislation would assure a long-term commitment of the resources necessary for such training. Of course, agencies would be expected to conduct contracting officer training programs within the limits of available funding if the additional resources are not provided.

I. Purpose. This instruction establishes a system for the selection, appointment, and termination of appointment of contracting officers.

II. Selection Criteria. The following minimum criteria for contracting officers shall apply to the selecting and appointment of, and delegation of authority to, all contracting officers other than the heads of contracting activities.

1. Contracting Officer (Small Purchase):⁷ (Obligation authority up to the small purchase limitation on the open market, and up to the maximum order limitation on Federal Supply Schedule contracts or other mandatory sources):

⁶ For the reader's convenience, the entire Task Group Six Model System is replicated here. This is appendix is taken, in its entirety, from Ficken and Motlong's Master's Thesis An Evaluation of the Requirements for Qualification and Warranting of Administrative Contracting Officer, 1984.

⁷ These terms would be defined in the actual instruction developed by the agency. Moreover, the instruction may enumerate the decisions typically made by each class of contracting officer as an inherent aspect of their appointment

a. Experience – Shall have at least one year of procurement experience, preferably including six months recent experience in small purchases or simplified purchasing.

b. Education – A high school diploma or its equivalent is desirable.

c. Training – Shall at the time of appointment have successfully completed training in Government small purchases to reach Level I of Attachment 1.

d. Duties – The individual regularly dedicates a significant portion of his/her time to procurement duties.

2. Contracting Officer (Intermediate):⁷

a. Experience – Shall have at least three years of current, progressively complex, and responsible procurement experience which has provided on-the-job training in researching and recommending the contract-related business decisions generally inherent in intermediate-level appointments. Experience in the GS-1102 or GS-1105 (or directly comparable military or private sector experience) is highly desirable.

b. Education – Preferably an associate's degree in field of study appropriate for procurement such as procurement and contracting, business administration, accounting, economics, marketing, or law.

c. Training – Shall meet, at the time of appointment, applicable training standards to Level II of Attachment 1.

d. Duties – The individual dedicates the large majority of his/her time to procurement and contracting duties.

3. Contracting Officer (Senior):⁷

a. Experience – Shall have at least five current years of progressively complex and responsible procurement experience which has provided on-the-job training in researching and recommending the contracting-related business management decisions generally inherent in senior-level appointments.

b. Education – A bachelor’s degree is highly desirable, preferably in an appropriate field of study, such as procurement and contracting, business administration, accounting, economics, marketing, or law.

c. Training – Shall meet, at the time of appointment, applicable training standards to Level III of Attachment 1.

d. Duties – The individual dedicates the large majority of his/her time to procurement and contracting duties.

III. Equivalencies – Completion of a two-year associate’s program in procurement may be substituted for six months on procurement experience. Completion of a four-year undergraduate program in procurement from an accredited college or university may be substituted for one year of procurement experience. Completion of graduate work in procurement from an accredited college or university may be substituted for procurement experience at the rate of twelve semester credit hours for three months of procurement experience. One year of concentrated experience in an advanced procurement subject area beyond the four-year minimum for the intermediate level and the six year minimum for senior level may be substituted for twenty-four classroom hours of formal training in procurement. The maximum credit for the total additional years of experience in separate concentrated procurement subject area is ninety-six classroom hours.

IV. Interim Provisions for Designating Contracting Officers – Personnel (civilian or military) shall not ordinarily be appointed as contracting officers if they do not meet the applicable criteria prescribed in this selection and appointment system. In those circumstances where it is necessary to appoint a contracting officer who has not completed the required training, a six month (maximum) “Interim Certificate” may be granted. The appointing official may consider experience and past performance before issuing an interim certificate. Failure to successfully complete the training requirements during the interim period shall result in the loss of the delegated contracting officer authority or (if due to lack of training funds, unavailability of a course quota, or other situation beyond the control of the agency or individual) the issuance of one additional

six month “Interim Certificate,” whichever is deemed necessary by the appointing official. Such actions are to be fully documented.

V. Appointing Officials. – The Procurement Executive is the appointing official for all contracting officers. The Procurement Executive shall determine whether to designate additional appointing officials and shall select such officials and define in writing any limits on their authority to appoint Contracting Officers. All appointing officials selected by the Procurement Executive shall meet the selection requirements for the highest level of contracting officer that they have authority to appoint.

VI. Evaluation

a. Appointing officials shall solicit the names of employees who meet the minimum criteria for selection and appointment as Contracting Officers, along with appropriate data on their training, experience, and background.

b. In selecting Contracting Officers, appointing officials shall consider the experience, education, and training of the employees, in terms of their potential to competently make the central contract-related business decisions for which they will be responsible under the terms and conditions of the appointment.

c. When appointing Level II and Level III Contracting Officers, appointing officials may establish advisory panels comprised of procurement managers and the representative of other appropriate disciplines. Final authority for selecting and appointing contracting officers shall remain with the appointing official.

VII. Documentation. – A record of the employee’s relevant experience, training, and education shall be completed for each person appointed a Contracting Officer. A copy of these statements shall be maintained by the Procurement Executive or a senior contract and procurement manager on his/her staff, as well as by the appointing official.

VIII. Certificates of Appointment

a. Contracting Officer authority shall be delegated only to an individual and not to a position.

b. Contracting officers shall be appointed in writing on a “Certificate of Appointment” (SF-1402), which shall state any limitation on the scope of authority to be exercised, other than limitations contained in the applicable laws or regulations. Files containing a copy of the Certificate of Appointment, along with a record of the employee’s relevant experience, training, and education, shall be maintained by the appointing official.

c. At the time of termination, the appointing official shall take back any Certificate issue to the employee.

d. The appointing official shall also be responsible for recovering, updating, and reissuing Certificates to incorporate any necessary changes in the terms and conditions of appointment.

IX. Conflict of Interest Statement. – All contracting officers must comply with the existing conflict of interest regulations. Contracting Officers must file the approved form in accordance with the required procedures.

X. Accountability. – The Procurement Executive shall be responsible for establishing and prescribing a contracting officer accountability system. This system will set performance standards, include an adequate set of checks and balances, include external as well as internal review coverage, and recognize effective as well as ineffective contracting officer performance. The procurement executive shall also develop procedures concerning the termination of contracting officer appointments.

XI. Maintenance Training. – At least once every three years, or as dictated by events or situations, contracting officers shall, as a condition for retaining their appointments, attend a minimum of two weeks of formal training in procurement covering such areas as new requirements, techniques, or procedures brought about by changes in law, regulation, policy, reviews, or business research.

XII. System Review. – The Procurement Executive, at least once every three years, shall thoroughly review, and ascertain the need to amend, the system for selecting, appointing, and terminating the appointments of contracting officers. The Procurement Executive shall report the findings and recommendations of this review to the head of the agency.

ATTACHMENT 1

General

Contracting officer training must be directly related to the body of knowledge of contract management and it must include most of the described topics within the core subject areas. Courses completed prior to the effective date of this standard may be accepted if accompanied by a copy of a certificate of completion (e.g., SF-182).

Training may be cumulative, i.e., work don't to satisfy the requirements of Level I or II below, at the agencies discretion, may be used toward satisfaction of a higher level.

Level I

Level I is an introduction to the procurement and contracting process and a treatment of fundamental principles and techniques with emphasis on public sector procurement through small purchase procedures, orders against Federal Supply Schedule (FSS) contracts, and purchases from mandatory sources. The training program must convey an understanding of the general and core subjects listed below. It is suggested that a minimum of 120 hours are necessary to accomplish this purpose.

A. General Subjects

1. Principles of buying, market conditions, and competition
2. Use of business judgment
3. Federal procurement responsibilities and authority
4. Ethics and standards
5. Purpose and objectives of small purchasing and use of mandatory sources
6. Socio-economic requirements

B. Core Subjects

1. Small or simplified purchasing requirements for planning, requisitioning, competition, solicitation, evaluation, pricing, and documentation

2. Small purchase methods such as purchase orders (priced and unpriced), SF-44, blanket purchase arrangements, request for quotes, open market, imprest funds, and credit cards
3. Government sources of supply
4. Requirements for selection, terms and administration of FSS contracts, delivery orders, mandatory versus optional schedules, and term contracts
5. Administration of orders, payment procedures, including fast pay, method of inspecting and testing, transportation and deliveries
6. Purchasing reports
7. Imprest fund requirements

Level II

Level II develops functional knowledge of the laws, policies, procedures and methods pertaining to Federal contracts.

The training program must convey an understanding of the following general and core subjects listed below. It is suggested that a minimum of 320 hours are necessary to accomplish this purpose.

A. General Subjects

1. Federal procurement policies
2. Explanation of the procurement cycle
3. Overview of the budget and appropriation cycle
4. Ethics and conduct standards
5. Basic contract laws and regulations
6. Socio-economic requirements in procurement
7. Identification and comparison of types of contracts and clauses
8. Advertised and negotiated methods of procurement

9. Definition of value, cost, price, and profit
10. Simplified (Small Purchase) negotiation techniques
11. Protests, claims, and disputes
12. Contract administration responsibilities
13. Contract modifications
14. Special procurement methods and reports
15. Technical data requirements
16. Preparation of the procurement request

B. Core Subjects

1. Formal Advertising

Procedures

Bidder responsibility

Responsiveness and timeliness of bids

Evaluation and verification of bids for award

Protests

2. Negotiation

Circumstances permitting negotiation

Determinations and findings

Negotiation procedures

Negotiation objectives and sessions

Simplified source selection evaluation and selection techniques

Offeror responsibility

Techniques and strategy of successful negotiation

3. Cost and Price Analysis

Fair and reasonable price determination

Economic concept of value, cost, and profit

Cost and price analysis techniques

Profit factors

Awareness of cost principles

Identification of elements of financial statements

Simple cost control techniques

4. Contract Administration

Responsibilities and functions of contract administrators

Proper authority for change orders/supplemental agreements

Identification of equitable adjustment factors

Quality assurance, inspection and compliance with contract terms

Delays/suspension of work

Labor provisions

Contract payments

Disputes and remedies

Liquidated damages

Terminations for convenience of Government and for default

Contract close out

5. Contract Law

Basic contract law principles

Federal contractual authority

Federal procurement regulations (FAR, DAR, DFAR)

For a course to qualify as credit toward a core subject area, it should contain most of the topics listed above under the subject area. A course which specializes in only one or two topics does not satisfy the entire subject area requirement for Level II. For example, a contract claims course does not fulfill all the requirements for a basic course in contract law.

C. Related Business Disciplines

1. Accounting
2. Corporate financial management
3. Industrial marketing
4. Acquisition management (logistics, supply, transportation, quality assurance, et al.)
5. Project/Program management
6. Other disciplines directly related to decisions made by contracting officers.

D. Intermediate Skill and Knowledge Requirements

1. Knowledge of Government Contract Law; and Federal regulations and policies for the solicitation, award and administration of contracts.
2. Knowledge of the budget execution process and procedures for verify that funds are available for the procurement.
3. Skill at determining whether a sole source procurement is necessary, given the nature of the requirements, market conditions and procedural constraints.
4. Ability to identify and develop sources of supply.
5. Knowledge of the procedures for small business and labor surplus set asides (including class set asides); knowledge of the process for procuring goods and services from 8(a) suppliers.

6. Ability to determine the best method of procurement, under more complex conditions, given the nature of the requirement and market conditions (e.g., simplified purchase methods, formal advertising, formal negotiations, etc.).
7. Skill at identifying and developing special provisions and options for solicitations to protect and further Government's interests.
8. Knowledge of methods for preparing and publicizing solicitations.
9. Skill at evaluating and responding to inquiries regarding solicitations.
10. Knowledge of the process for amending solicitations, extending the solicitation period, and disposing of late bids or proposals.
11. Knowledge of the conditions and process for cancelling solicitations.
12. Basic knowledge of the process for evaluating bids, including such aspects as verifying bids, determining the allowability (post-award) of mistakes in bids, and determining responsiveness.
13. Ability to identify and obtain data for evaluating proposals from both Government (i.e., technical evaluators and auditors) and non-Government sources.
14. Skill at analyzing market conditions and historical pricing data to determine the fairness and reasonableness of proposed prices; and to develop and support the Government's pre-negotiation positions, based on data from the offerors, in-house estimates, technical evaluations and audit reports.
15. Basic skill at analyzing proposed elements of cost to develop cost and profit pre-negotiation positions, based on data from the offerors, in-house estimates, technical evaluations and audit reports.
16. Ability to determine the competitive range.
17. Skill at developing negotiation objective range.
18. Skill at conducting negotiation conferences with the offerors' representatives.
19. Ability to determine the necessity and extent of pre-award surveys.

20. Skill at determining the responsibility of proposed offerors.
21. Ability to make and justify final source selection decisions.
22. Knowledge of the procedures for awarding contracts and providing notice of the award.
23. Ability to determine the necessity and conduct post-award conferences.
24. Knowledge of the methods and conditions for modifying contracts through formal change orders and supplemental agreements.
25. Skill at instructing technical representatives and quality assurance personnel of their authority and limits.
26. Knowledge of the process for settling claims; ability to determine the validity of claims and establish the Government's position on the amount of equitable adjustment.
27. Knowledge of the process for ordering (a) temporary halts in work under contracts and (b) the resumption of work.
28. Ability to monitor the contractor's progress, determine whether delays are excusable, and grant performance time extensions for excusable delays.
29. Knowledge of the criteria for determining whether the contractor is failing to make due progress or not complying with other contract provisions.
30. Knowledge of the techniques and instruments for dealing with the contractor's failure to perform (e.g., cures and show cause notices).
31. Knowledge of the conditions and process for terminating contracts for the convenience of the Government or default.
32. Ability to determine and assess liquidated damages; obtain consideration for delinquent deliveries or items not meeting specifications.
33. Knowledge of the consequences of breach of contract by either the Government or the contractor.

34. Knowledge of the process for inspecting and accepting the contractors' work.

35. Ability to manage the payment of contractors (e.g., requests for progress payments; the processing of contractor invoices; release of claims; assignment of payments; adjusting contract fund requirements; the withholding and set off payments).

Level III

Level III courses concentrate on the analysis of advanced procurement methods and techniques to enable an individual to effectively manage more complex contractual relationships. The training requirements for Level II are also prerequisites for Level III. The essential difference between Level II and Level III concentrates on the in-depth analysis of more complex and specialized procurement areas and presents a strategic overview of procurement management.

Advanced course content must include a combination of the following general and core subjects listed below. It is suggested that a minimum of 200 hours beyond Level II requirements (i.e., 520 hours) are necessary to accomplish this purpose⁸

A. General Subjects

1. Acquisition management
2. Advanced procurement planning
3. Advanced procurement and contracting methods and techniques
4. Complex contract types
5. Procurement of major systems
6. Analysis and interpretation of private sector market conditions
7. Labor and socio-economic contract provisions
8. Data management

⁸ This is somewhat less than the hours of training required on average in the Department of Defense for all intermediate level Contracts and Procurement Specialists (not just contracting officers).

9. Incentive contracting; cost reduction
 10. Current policy issues
- B. Core Subjects
1. Formal advertising
Specification and purchase description
Two-step formal advertising
Mistakes in bids
Protests
 2. Negotiation (Art and Technique)
Techniques and strategy of effective negotiation
Competitive range and determination
Advance source evaluation and selection process and technique
 3. Cost and Price Analysis
Contract risk allocation
Financial management and interpretation of financial statements and determination of viability of a business concern
Overhead analysis and negotiation
Quantitative techniques for evaluation
Cost accounting standards
Cost control techniques
Design to cost; life cycle cost
 4. Contract Administration
Change orders/supplemental agreements; forward pricing
Settlement of contract claims and equitable adjustments

Termination for convenience or default

Interpretation of specifications

Contractor performance measurement

5. Contract Law

Evaluation of procurement statutes

Case studies and analysis of Comptroller General, Contract Appeals Boards, and court decisions involving major contract issues

Understanding legal procedures and interpreting legal concepts

Contemporary procurement law issues

D. Advance Skill and Knowledge Requirements

1. Knowledge of Government Contract Law; and Federal regulations and policies for the solicitation, award and administration of contracts.

2. Ability to develop, maintain and update advanced procurement plans.

3. Ability to advise and assist requiring activities in evaluating statements of work or specifications to yield the best market response, in terms of quality, quantity, timeliness and price.

4. Skill at advising and assisting requiring activities in formulating and applying criteria for evaluating offerors' proposals.

5. Advanced skill at assisting the requiring activities in avoiding sole source situations and obtaining competition, when competition would best serve the public interest.

6. Skill at applying procedures for small business and labor surplus set asides (including class set asides); knowledge of the process for procuring goods and services from 8(a) suppliers.

7. Ability to determine the best method of procurement, under more complex conditions, given the nature of the requirement and market conditions (e.g., simplified purchase methods, formal advertising, formal negotiations, etc.).

8. Ability to select the most appropriate pricing arrangement (i.e., “type of contract”), given the nature of the requirement and market conditions.

9. Skill at determining the necessity for, and developing of contractor financing arrangements (e.g., progress payments, advance payments, etc.).

10. Skill at identifying and developing more advanced special provisions and options for more sophisticated procurements.

11. Advanced knowledge of methods and issues involving the solicitation of bids and proposals, from publication of the solicitation through receipt and opening of the bids and proposals.

12. Skill at determining the necessity for and, conducting pre-proposal (i.e., solicitation) conferences.

13. Advanced knowledge of the process for evaluating bids, including such aspects as verifying bids, determining the allowability (post-award) of mistakes in bids, and determining responsiveness.

14. Ability to identify and obtain data from evaluating proposals from both Government (i.e., technical evaluators and auditors) and non-Government sources.

15. Advance skill at analyzing market conditions and historical pricing data to determine the fairness and reasonableness of proposed prices; and to develop and support the Government’s pre-negotiation position on price.

16. Advanced skill at analyzing proposed elements of cost to develop cost and profit pre-negotiation positions, based on data from the offerors, in-house estimates, technical evaluations and audit reports.

17. Ability to determine the competitive range when complex technical issues are involved.

18. Advanced skill at developing negotiation objectives, strategies and tactics.
19. Skill at organizing and preparing the Government's negotiation team.
20. Skill at conducting pre-negotiation fact finding conferences with the offeror's representative.
21. Skill at managing team negotiation conferences with the offerors' representatives.
22. Advanced skill at determining the responsibility of proposed offerors.
23. Knowledge of advanced sole selection methods.
24. Skill at developing the Government's position on protests
25. Advanced knowledge of the methods and conditions for modifying contracts through formal change orders and supplemental agreements.
26. Advanced skill at instructing technical representatives and quality assurance personnel on their authority and limits.
27. Knowledge of the process for settling complex claims; ability to determine the validity of complex claims and establish the Government's position on the amount of the equitable adjustment.
28. Advanced knowledge of, and skill at, monitoring the contractor's progress, determining whether delays are excusable, and granting performance time extensions for excusable delays.
29. Skill at determining whether the contractor is failing to make due progress or not complying with other contract provision.
30. Skill at applying the techniques and instruments for dealing with the contractor's failure to perform (e.g., cure and show cause notices).
31. Advanced knowledge of the conditions and process for terminating contracts for convenience of the Government and for default.

32. Skill at obtaining consideration for delinquent deliveries or items not meeting specifications.

33. Ability to obtain and review cost accounting standards disclosure statements; determine whether investigations of the statement are necessary; and negotiate cost impact adjustments.

34. Knowledge of the process for reviewing and approving the contractors' accounting and cost estimating system.

35. Knowledge of quality assurance systems and processes.

36. Ability to review and consent to proposed placements of sub-contracts; knowledge of the procedures for reviewing contractor purchasing systems.

37. Knowledge of the techniques for identifying and resolving defective pricing actions.

38. Skill at negotiating forward pricing agreements, interim billing rates, and final overhead rates.

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APPENDIX E. APPOINTING OFFICIAL SURVEY RESULTS

Question 1 was the consent question.

Question 2 was to confirm that the participant was an Appointing Official.

Question 3

In which organization do you work?		
Answer Options	Response Percent	Response Count
COMFISCS	50.0%	1
NAVAIR	0.0%	0
NAVSEA	0.0%	0
SPAWAR	50.0%	1
<i>answered question</i>		2
<i>skipped question</i>		0

Question 4

What is your grade/rank or equivalent level?		
Answer Options	Response Percent	Response Count
GS-11/O3	0.0%	0
GS-12/O4	0.0%	0
GS-13/O5	0.0%	0
GS-14/O6	100.0%	2
GS-15 or Higher	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 5

What is the last educational level you completed?		
Answer Options	Response Percent	Response Count
High School graduate	0.0%	0
Associate Degree	0.0%	0
bachelor's Degree	0.0%	0
master's Degree	100.0%	2
Beyond master's Degree	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 6

Did your Associates Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have an Associate's Degree	100.0%	1
No contracting background	0.0%	0
Some contracting background	0.0%	0
Extensive contracting background	0.0%	0
Entire degree emphasis was contracting	0.0%	0
<i>answered question</i>		1
<i>skipped question</i>		1

Question 7

Did your bachelor's Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have a bachelor's Degree	0.0%	0
No contracting background	100.0%	2
Some contracting background	0.0%	0
Extensive contracting background	0.0%	0
Entire degree emphasis was contracting	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 8

Did your master's Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have a master's Degree	0.0%	0
No contracting background	0.0%	0
Some contracting background	0.0%	0
Extensive contracting background	100.0%	2
Entire degree emphasis was contracting	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 9

How many years of total experience do you have in your field? (Warranted Contracting Officer and Appointing Official/Designated Official)

Answer Options	Response Percent	Response Count
0-2	0.0%	0
2-4	0.0%	0
4-6	0.0%	0
6-8	50.0%	1
8-10	50.0%	1
10+	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 10

How long have you been with your current organization?

Answer Options	Response Percent	Response Count
2 years or less	0.0%	0
2 - 4 years	50.0%	1
4 - 6 years	50.0%	1
6 - 10 years	0.0%	0
more than 10 years	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 11

Have you ever been a Warranted Contracting Officer?

Answer Options	Response Percent	Response Count
Yes, I've been a Warranted Contracting Officer	100.0%	1
No, I've never been a Warranted Contracting Officer	0.0%	0
<i>answered question</i>		1
<i>skipped question</i>		1

Question 12

What is your current level of DAWIA contracting certification?

Answer Options	Response Percent	Response Count
Level 1	0.0%	0
Level 2	0.0%	0
Level 3	100.0%	2
<i>answered question</i>		2
<i>skipped question</i>		0

Question 13

What is your warrant authority? (i.e., Level III Unlimited, Level II , SAP, etc.)	
Answer Options	Response Count
	2
<i>answered question</i>	2
<i>skipped question</i>	0

Number	Response Date	Response Text
1	Nov 22, 2010 7:32 PM	Unlimited
2	Dec 3, 2010 5:49 AM	unlimited

Question 14

Were you involved in the development of your organization's Contracting Officer Warranting procedures?		
Answer Options	Response Percent	Response Count
No	0.0%	0
Somewhat, I had input in the development	100.0%	2
Yes, I developed it	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 15

What are the majority of contracts you have administered?		
Answer Options	Response Percent	Response Count
I was not a Contracting Officer	0.0%	0
Firm Fixed Price	0.0%	0
Fixed Price Incentive Fee	0.0%	0
Cost Plus Award Fee	50.0%	1
Cost Plus Incentive Fee	0.0%	0
Other (explain below)	50.0%	1
Other (please specify)		1
<i>answered question</i>		2
<i>skipped question</i>		0

Number	Response Date	Other (please specify)	Categories
1	Nov 22, 2010 7:32 PM	Good Variety	

Question 16

Considering individual contract values, most of the contracts you have administered were in which range?

Answer Options	Response Percent	Response Count
Not Applicable	0.0%	0
0 - \$50,000	0.0%	0
\$50,000 - \$100,000	0.0%	0
\$100,000 - \$500,000	0.0%	0
\$500,000 - \$1 Million	0.0%	0
\$1 Million - \$10 Million	0.0%	0
\$10 Million or higher	100.0%	2
<i>answered question</i>		2
<i>skipped question</i>		0

Question 17

The highest dollar value for a single contract for which you were the Contracting Officer is in which range?

Answer Options	Response Percent	Response Count
Not Applicable	0.0%	0
0 - \$50,000	0.0%	0
\$50,000 - \$100,000	0.0%	0
\$100,000 - \$500,000	0.0%	0
\$500,000 - \$1 Million	0.0%	0
\$1 Million - \$10 Million	0.0%	0
\$10 Million or higher	100.0%	2
<i>answered question</i>		2
<i>skipped question</i>		0

Question 18

What is the contract type identified in the previous question?

Answer Options	Response Percent	Response Count
Firm Fixed Price	0.0%	0
Fixed Price Incentive Fee	0.0%	0
Cost Plus Award Fee	100.0%	1
Cost Plus Incentive Fee	0.0%	0
Other (explain below)	0.0%	0
Other (please specify)		1
<i>answered question</i>		1
<i>skipped question</i>		1

Number	Response Date	Other (please specify)	Categories
1	Nov 22, 2010 7:32 PM	CPFF	

Question 19

Please indicate the applicability of the following DAU courses (or equivalents) to the current position in the organization.

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
ACQ 201 A&B - Intermediate Systems Acquisition	0	0	0	2	0	0	2
ACQ 370 - Contract Law	0	0	0	0	0	2	2
BCF 102 - Fundamentals of Earned Value Management	0	1	1	0	0	0	2
CLB 007 - Cost Analysis	0	0	0	0	1	1	2
CLB 011 - Budget Policy	0	0	0	1	1	0	2
CLB 016 - Introduction to Earned Value Management	0	1	1	0	0	0	2
CLC 001 - Defense Subcontract Management	0	1	0	1	0	0	2
CLC 003 - Sealed Bidding	0	1	0	1	0	0	2
CLC 004 - Market Research	0	0	0	0	0	2	2
CLC 004 - Market Research	0	0	0	0	0	2	2
CLC 005 - Simplified Acquisition Procedures	0	0	0	0	0	2	2
CLC 006 - Contract Terminations	0	0	0	0	2	0	2
CLC 007 - Contract Source Selection	0	0	0	0	1	1	2
CLC 009 - Service-Disabled, Veteran-Owned Small Business Program	0	0	0	1	1	0	2
CLC 013 -	0	0	0	1	1	0	2

Performance-Based Services Acquisition								
CLC 019 - Leveraging DCMA for Program Success	0	0	0	2	0	0	2	
CLC 020 - Commercial Item Determination	0	0	0	0	2	0	2	
CLC 022 - Profit Policy Revisions	0	0	0	0	2	0	2	
CLC 023 - Commercial Item Determination Executive Overview	0	1	0	0	1	0	2	
CLC 027 - Buy American Act	0	1	0	0	1	0	2	
CLC 028 - Past Performance Information	0	1	0	0	1	0	2	
CLC 034 - Provisional Award Fee	0	1	0	1	0	0	2	
CLC 036 - Other Transaction Authority for Prototype Projects: Comprehensive Coverage	0	1	0	1	0	0	2	
CLC 044 - Alternative Dispute Resolution	0	1	0	0	1	0	2	
CLC 047 - Contract Negotiation Techniques	0	1	0	0	0	1	2	
CLC 050 - Contracting with Canada	0	0	1	1	0	0	2	
CLC 060 - Time and Materials Contracts	0	1	0	0	1	0	2	
CLC 104 - Analyzing Profit or Fee	0	0	0	0	1	1	2	

CLC 109 - Strategic Sourcing Overview	1	0	0	0	0	1	2
CLC 110 - Spend Analysis Strategies	1	0	0	0	0	1	2
CLC 125 - Berry Amendment	1	0	0	0	0	1	2
CLC 131 - Commercial Item Pricing	0	0	0	1	0	1	2
CLC 132 - Organizational Conflicts of Interest	0	0	0	1	0	1	2
CLE 004 - Intra-Governmental Transactions	0	0	0	1	0	1	2
CLM 013 - Work-Breakdown Structure	0	1	0	0	1	0	2
CLM 031 - Improved Statement of Work	0	0	0	0	1	1	2
CLM 040 - Proper Financial Accounting Treatments for Military Equipment	0	0	0	1	0	1	2
CON 234 - Joint Contingency Contracting	0	0	0	1	1	0	2
CON 235 - Advanced Contract Pricing	0	0	0	0	1	1	2
CON 237 - Simplified Acquisition Procedures	0	0	0	0	0	2	2
CON 250 - Fundamentals of Cost Accounting Standards-Part I	0	0	0	0	0	2	2
CON 251 - Fundamentals	0	0	0	0	0	2	2

of	Cost								
Accounting									
Standards-Part									
II									
CON 260 A&B									
- The Small	0	0	0	0	1	1	2		
Business									
Program									
HBS 221 -	0	0	0	0	1	1	2		
Negotiating									
<i>answered question</i>								2	
<i>skipped question</i>								0	

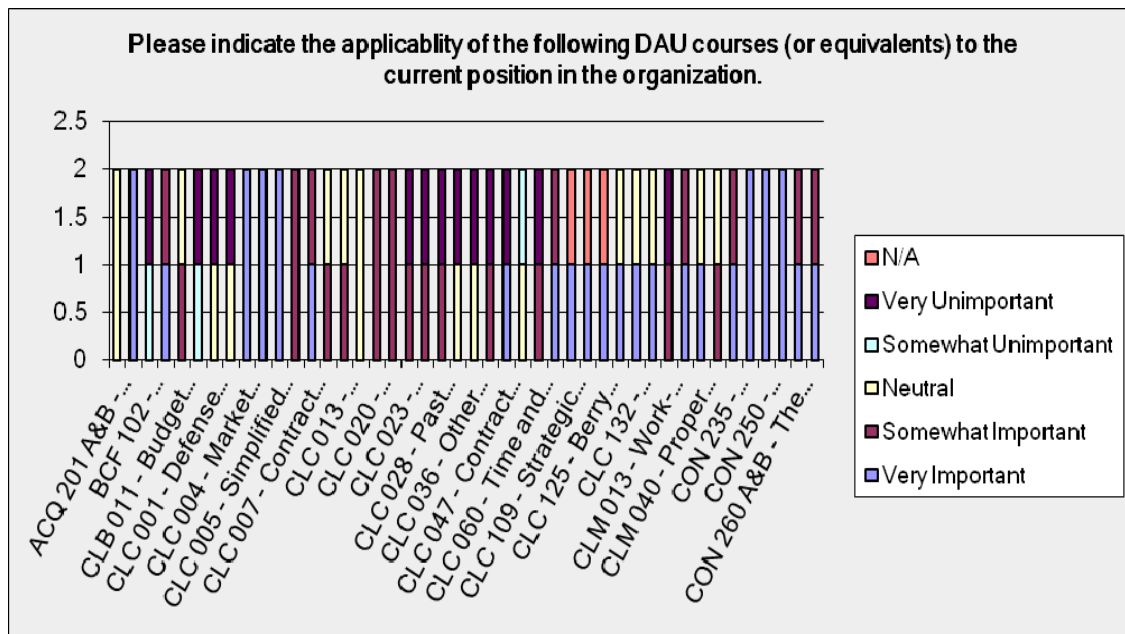


Figure 24. Graphic Representation of Question 19 Answers

Question 20

Is an interview required for warranting within your organization? (Please check all that apply)		
Answer Options	Response Percent	Response Count
I do not require an interview	50.0%	1
They are interviewed by a supervisor when selected	0.0%	0
They are interviewed by a division chief when selected	50.0%	1
They are interviewed by the director when selected	0.0%	0
They are interviewed by Headquarters when selected	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 21

Is an examination required for warranting within your organization? (Please check all that apply)		
Answer Options	Response Percent	Response Count
No, I do not require an examination when selected	100.0%	2
Yes, an oral examination is required when selected	0.0%	0
Yes, a written examination is required when selected	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 22

Are Warrants awarded based solely upon position (aka Inherited)		
Answer Options	Response Percent	Response Count
Yes	0.0%	0
No	100.0%	2
Not Applicable	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 23

What is the "primary" selection criterion for the warrant?		
Answer Options	Response Percent	Response Count
Interview	0.0%	0
Oral Examination	0.0%	0
Written Examination	0.0%	0
Experience, Training, or Education	50.0%	1
Other (explain below)	50.0%	1
Other (please specify)		1
<i>answered question</i>		2
<i>skipped question</i>		0

Number	Response Date	Other (please specify)	Categories
1	Nov 22, 2010 7:37 PM	Experience, Training, Education, and Demonstrated Capability/Trust	

Question 24

At the time of selection, did you feel the officer was qualified to hold the position?		
Answer Options	Response Percent	Response Count
Yes	100.0%	2
No, please explain below	0.0%	0
Other (please specify)		1
<i>answered question</i>		2
<i>skipped question</i>		0

Number	Response Date	Other (please specify)	Categories
1	Nov 22, 2010 7:37 PM	Unclear the question	

Question 25

How important is EXPERIENCE as a qualification criterion for selection of Warranted Contracting Officer?		
Answer Options	Response Percent	Response Count
Not important at all	0.0%	0
Limited importance	0.0%	0
Important	0.0%	0
Very Important	0.0%	0
Mandatory	100.0%	2
<i>answered question</i>		2
<i>skipped question</i>		0

Question 26

What do you consider to be the minimum number of years of contracting experience someone should have before being selected as a DAWIA level 1 Contracting Officer?		
Answer Options	Response Percent	Response Count
DAWIA Minimum (2 years)	100.0%	2
2 - 4 years	0.0%	0
4 - 6 years	0.0%	0
6 - 10 years	0.0%	0
More than 10 years	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 27

What do you consider to be the minimum number of years of contracting experience someone should have before being selected as a DAWIA level 2 Contracting Officer?

Answer Options	Response Percent	Response Count
DAWIA Minimum (4 years)	100.0%	2
4 - 6 years	0.0%	0
6 - 10 years	0.0%	0
More than 10 years	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 28

What do you consider to be the minimum number of years of contracting experience someone should have before being selected as a DAWIA level 3 Contracting Officer?

Answer Options	Response Percent	Response Count
DAWIA Minimum (6 years)	0.0%	0
6 - 10 years	100.0%	2
More than 10 years	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 29

How important is undergraduate study, in business or contracting related course work, as a factor in selecting contracting officers?

Answer Options	Response Percent	Response Count
N/A	0.0%	0
Very Unimportant	0.0%	0
Somewhat Unimportant	50.0%	1
Neutral	0.0%	0
Somewhat Important	50.0%	1
Very Important	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 30

How important is graduate study, in business or contracting related course work, as a factor for selecting contracting officers

Answer Options	Response Percent	Response Count
Not important at all	0.0%	0
Limited importance	0.0%	0
Important	50.0%	1
Very Important	50.0%	1
Mandatory	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 31

Please rate the following degrees that would be beneficial to future Warranted Contracting Officers? (Check all that apply)

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
Economics	0	0	0	0	2	0	2
Accounting	0	0	0	0	2	0	2
Law	0	0	0	0	2	0	2
Business	0	0	0	1	1	0	2
Finance	0	1	0	0	1	0	2
Marketing	0	1	0	1	0	0	2
Industrial Management	0	1	0	1	0	0	2
Organization & Management	0	1	0	1	0	0	2
<i>answered question</i>							2
<i>skipped question</i>							0

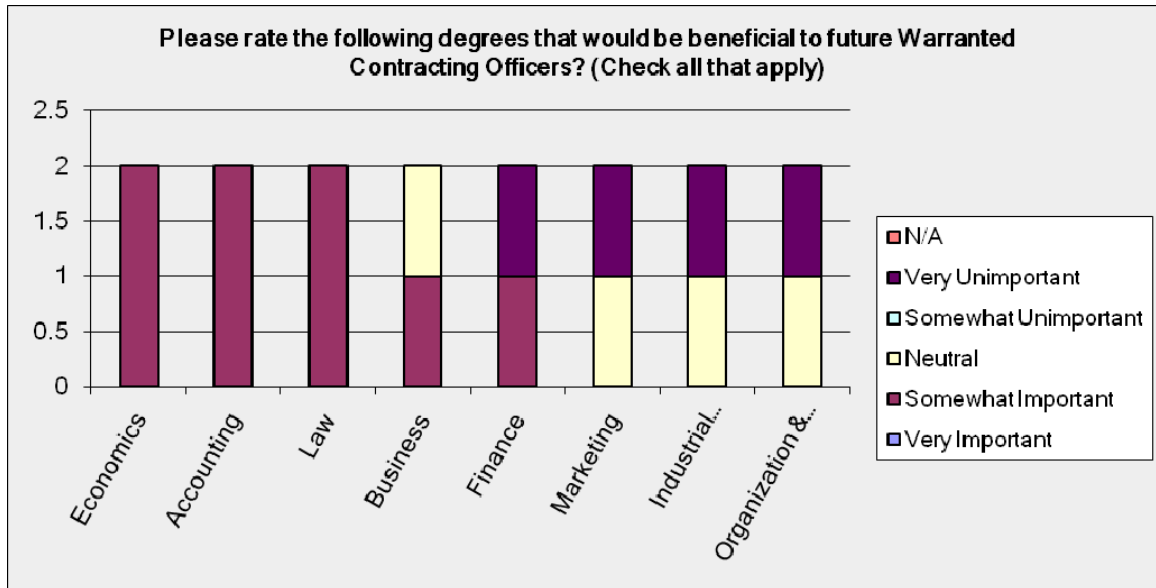


Figure 25. Graphic Representation of Question 31 Answers

Question 32

How important are written EXAMINATIONS as qualification criteria for selecting contracting officer?

Answer Options	Response Percent	Response Count
N/A	50.0%	1
Very Unimportant	50.0%	1
Somewhat Unimportant	0.0%	0
Neutral	0.0%	0
Somewhat Important	0.0%	0
Very Important	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 33

Is successful completion of a written examination important as a qualification requirement for selection as a contracting officer?

Answer Options	Response Percent	Response Count
N/A	50.0%	1
Very Unimportant	0.0%	0
Somewhat Unimportant	50.0%	1
Neutral	0.0%	0
Somewhat Important	0.0%	0
Very Important	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 34

How important is prior TRAINING as a qualification criterion for selecting contracting officers?		
Answer Options	Response Percent	Response Count
N/A	0.0%	0
Very Unimportant	50.0%	1
Somewhat Unimportant	0.0%	0
Neutral	0.0%	0
Somewhat Important	50.0%	1
Very Important	0.0%	0
<i>answered question</i>		2
<i>skipped question</i>		0

Question 35

Are there any other requirements that you would recommend?	
Answer Options	Response Count
	2
<i>answered question</i>	2
<i>skipped question</i>	0

Num ber	Response Date	Response Text
1	Nov 22, 2010 7:40 PM	Demonstrated Capability/Trust in the Work/knowledge of the individual. Reference Checks are critical.
2	Dec 3, 2010 5:55 AM	References, Experience, and DAWIA standards

Question 36

Are there any further comments regarding the Navy's warranting process?	
Answer Options	Response Count
	2
<i>answered question</i>	2
<i>skipped question</i>	0

Nu mb er	Response Date	Response Text
1	Nov 22, 2010 7:40 PM	It is not a one size fit all approach.
2	Dec 3, 2010 5:55 AM	Really depends on the agency and the contracting unit, not the same for everyone. Low level contracting officers could benefit from a standardize program

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APPENDIX F. CONTRACTING OFFICER SURVEY RESULTS

Question 1 was the consent question.

Question 2 was to confirm the participant was a Contracting Officer

Question 3

For which organization do you work?		
Answer Options	Response Percent	Response Count
COMFISCS	62.5%	20
NAVAIR	0.0%	0
NAVSEA	0.0%	0
SPAWAR	37.5%	12
<i>answered question</i>		32
<i>skipped question</i>		3

Question 4

What is your grade/rank or equivalent level?		
Answer Options	Response Percent	Response Count
GS-11/O3	0.0%	0
GS-12/O4	6.3%	2
GS-13/O5	53.1%	17
GS-14/O6	31.3%	10
GS-15 or Higher	9.4%	3
<i>answered question</i>		32
<i>skipped question</i>		3

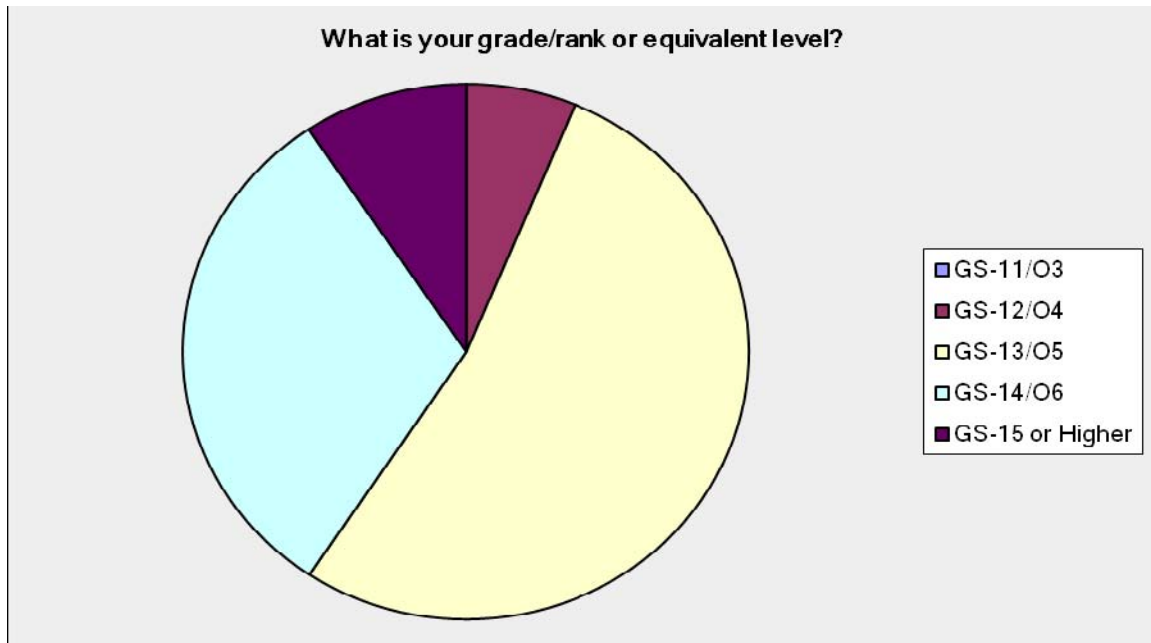


Figure 26. Graphic Representation of Question 4 Responses

Question 5

What is the last educational level you completed?		
Answer Options	Response Percent	Response Count
High School graduate	0.0%	0
Associate Degree	3.1%	1
bachelor's Degree	12.5%	4
master's Degree	78.1%	25
Beyond master's Degree	6.3%	2
answered question		32
skipped question		3

Question 6

Did your Associates Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have an Associate's Degree	62.5%	20
No contracting background	37.5%	12
Some contracting background	0.0%	0
Extensive contracting background	0.0%	0
Entire degree emphasis was contracting	0.0%	0
answered question		32
skipped question		3

Question 7

Did your bachelor's Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have a bachelor's Degree	0.0%	0
No contracting background	80.6%	25
Some contracting background	19.4%	6
Extensive contracting background	0.0%	0
Entire degree emphasis was contracting	0.0%	0
<i>answered question</i>		31
<i>skipped question</i>		4

Question 8

Did your master's Degree provide you with any contracting background?		
Answer Options	Response Percent	Response Count
I do not have a master's Degree	12.9%	4
No contracting background	19.4%	6
Some contracting background	32.3%	10
Extensive contracting background	19.4%	6
Entire degree emphasis was contracting	16.1%	5
<i>answered question</i>		31
<i>skipped question</i>		4

Question 9

How many years of experience do you have in your field? (Total years as a Contracting Officer or Appointing Official)		
Answer Options	Response Percent	Response Count
0-2	3.1%	1
2-4	6.3%	2
4-6	3.1%	1
6-8	9.4%	3
8-10	28.1%	9
10+	50.0%	16
<i>answered question</i>		32
<i>skipped question</i>		3

Question 10

How long have you been with the current organization?		
Answer Options	Response Percent	Response Count
2 years or less	12.5%	4
2 - 4 years	9.4%	3
4 - 6 years	18.8%	6
6 - 10 years	28.1%	9
more than 10 years	31.3%	10
<i>answered question</i>		32
<i>skipped question</i>		3

Question 11

What is your current level of DAWIA contracting certification?		
Answer Options	Response Percent	Response Count
Level 1	0.0%	0
Level 2	6.3%	2
Level 3	93.8%	30
<i>answered question</i>		32
<i>skipped question</i>		3

Question 12

What is your warrant authority? (i.e., Level III Unlimited, Level II Below SAP, etc.)

Answer Options	Response Count
	32
<i>answered question</i>	32
<i>skipped question</i>	3

Number	Response Date	Response Text
1	Nov 19, 2010 3:07 PM	Unlimited
2	Nov 19, 2010 9:40 PM	Level III Unlimited
3	Nov 21, 2010 12:01 AM	Unlimited
4	Nov 22, 2010 4:03 PM	Unlimited
5	Nov 22, 2010 7:27 PM	LEVEL II
6	Nov 23, 2010 12:12 AM	Level II
7	Nov 23, 2010 3:59 AM	COMFISCS Warrant Level G - Up to \$25M
8	Nov 23, 2010 4:48 AM	Level III Unlimited
9	Nov 23, 2010 12:37 PM	Level III Unlimited
10	Nov 23, 2010 6:38 PM	Level III
11	Nov 23, 2010 6:45 PM	Level II
12	Nov 23, 2010 6:46 PM	Level III Unlimited
13	Nov 23, 2010 10:18 PM	Unlimited
14	Nov 23, 2010 11:49 PM	Unlimited
15	Nov 28, 2010 1:50 AM	unlimited
16	Nov 29, 2010 3:58 AM	Level III
17	Nov 29, 2010 7:15 AM	\$5Million
18	Dec 3, 2010 6:14 AM	Unlimited
19	Dec 3, 2010 6:19 AM	Unlimited
20	Dec 3, 2010 6:22 AM	Level II
21	Dec 3, 2010 6:26 AM	Unlimited
22	Dec 3, 2010 6:30 AM	Unlimited
23	Dec 3, 2010 6:35 AM	unlimited
24	Dec 3, 2010 6:39 AM	Unlimited
25	Dec 3, 2010 6:43 AM	Unlimited
26	Dec 3, 2010 7:08 AM	Unlimited
27	Dec 3, 2010 7:11 AM	unlimited
28	Dec 3, 2010 7:14 AM	unlimited
29	Dec 3, 2010 7:18 AM	Level III
30	Dec 3, 2010 7:38 AM	SAP
31	Dec 3, 2010 7:42 AM	Unlimited
32	Dec 3, 2010 7:46 AM	Unlimited

Question 13

Were you involved in the development of your organization's Contracting Officer Warranting procedures?

Answer Options	Response Percent	Response Count
No	87.1%	27
Somewhat, I had input in the development	12.9%	4
Yes, I developed it	0.0%	0
<i>answered question</i>		31
<i>skipped question</i>		4

Question 14

What are the majority of contracts you presently administer ?

Answer Options	Response Percent	Response Count
Firm Fixed Price	29.6%	8
Fixed Price Incentive Fee	0.0%	0
Cost Plus Award Fee	29.6%	8
Cost Plus Incentive Fee	11.1%	3
Other (explain below)	29.6%	8
Other (please specify)		13
<i>answered question</i>		27
<i>skipped question</i>		8

Number	Response Date	Other (please specify)	Categories
1	Nov 19, 2010 3:07 PM	Cost plus fixed fee	
2	Nov 21, 2010 12:01 AM	All types, FFP, CPFF, Cost & T&M	
3	Nov 22, 2010 4:03 PM	CPFF	
4	Nov 23, 2010 12:12 AM	Cost Plus Fixed Fee	
5	Nov 23, 2010 12:37 PM	CPFF	
6	Nov 23, 2010 6:45 PM	CPFF	
7	Nov 23, 2010 10:18 PM	CPFF	
8	Dec 3, 2010 6:14 AM	All types	
9	Dec 3, 2010 6:26 AM	All types	
10	Dec 3, 2010 6:35 AM	All types	
11	Dec 3, 2010 7:14 AM	All	
12	Dec 3, 2010 7:18 AM	All kinds	
13	Dec 3, 2010 7:46 AM	mix	

Question 15

Considering individual contract values, most of the contracts you administer are in which range?

Answer Options	Response Percent	Response Count
0 - \$50,000	0.0%	0
\$50,000 - \$100,000	6.3%	2
\$100,000 - \$500,000	3.1%	1
\$500,000 - \$1 Million	3.1%	1
\$1 Million - \$10 Million	37.5%	12
\$10 Million or higher	50.0%	16
<i>answered question</i>		32
<i>skipped question</i>		3

Question 16

In which range is the highest dollar value for a single contract for which you are presently the Contracting Officer ?

Answer Options	Response Percent	Response Count
0 - \$50,000	0.0%	0
\$50,000 - \$100,000	0.0%	0
\$100,000 - \$500,000	3.2%	1
\$500,000 - \$1 Million	3.2%	1
\$1 Million - \$10 Million	29.0%	9
\$10 Million or higher	64.5%	20
<i>answered question</i>		31
<i>skipped question</i>		4

Question 17

What is the contract type for the previous question?		
Answer Options	Response Percent	Response Count
Firm Fixed Price	17.2%	5
Fixed Price Incentive Fee	0.0%	0
Cost Plus Award Fee	55.2%	16
Cost Plus Incentive Fee	6.9%	2
Other (explain below)	20.7%	6
Other (please specify)		8
<i>answered question</i>		29
<i>skipped question</i>		6

Number	Response Date	Other (please specify) Categories
1	Nov 19, 2010 3:07 PM	CPFF
2	Nov 21, 2010 12:01 AM	All types, FFP, Cost, CPFF & T&M
3	Nov 22, 2010 4:03 PM	Hybrid - CPFF, CPIF, CPAF, FFP
4	Nov 23, 2010 12:12 AM	Cost Plus Fixed Fee
5	Nov 23, 2010 3:59 AM	Fixed Price IDTCs
6	Nov 23, 2010 6:46 PM	CPFF and FFP
7	Nov 23, 2010 10:18 PM	CPFF
8	Nov 28, 2010 1:50 AM	Cost Plus Fixed Fee/FFP hybrid

Question 18

Please indicate the applicability of the following DAU courses (or equivalents) to your current position. If you have not taken the course, please answer N/A.

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
ACQ 201 A&B - Intermediate Systems Acquisition	9	4	5	5	5	3	31
ACQ 370 - Contract Law	5	0	3	1	8	14	31
BCF 102 - Fundamentals of Earned Value Management	12	2	5	5	4	3	31
CLB 007 - Cost Analysis	6	0	2	2	11	10	31
CLB 011 - Budget Policy	11	1	4	5	7	3	31
CLB 016 - Introduction to Earned Value Management	11	2	6	7	5	0	31
CLC 001 - Defense Subcontract Management	11	1	6	9	4	0	31
CLC 003 - Sealed Bidding	11	2	7	4	6	0	30
CLC 004 - Market Research	8	1	4	1	8	9	31
CLC 004 - Market Research	10	0	5	1	8	7	31
CLC 005 - Simplified Acquisition Procedures	8	1	7	5	8	2	31
CLC 006 - Contract Terminations	11	0	7	5	7	1	31
CLC 007 - Contract Source Selection	6	0	5	6	5	9	31
CLC 009 - Service-Disabled, Veteran-Owned Small Business Program	11	3	7	6	4	0	31
CLC 013 -	8	4	6	7	2	4	31

Please indicate the applicability of the following DAU courses (or equivalents) to your current position. If you have not taken the course, please answer N/A.

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
Performance-Based Services Acquisition CLC 019 - Leveraging DCMA for Program Success	11	3	6	9	2	0	31
CLC 020 - Commercial Item Determination	10	4	4	11	1	1	31
CLC 022 - Profit Policy Revisions	10	4	7	6	3	1	31
CLC 023 - Commercial Item Determination	10	6	5	9	0	1	31
Executive Overview CLC 027 - Buy American Act	11	5	6	8	1	0	31
CLC 028 - Past Performance Information	9	6	5	5	5	1	31
CLC 034 - Provisional Award Fee	11	4	6	8	1	1	31
CLC 036 - Other Transaction Authority for Prototype Projects:	12	5	5	7	1	0	30
Comprehensive Coverage CLC 044 - Alternative Dispute Resolution	10	5	5	6	3	1	30
CLC 047 - Contract Negotiation Techniques	8	3	7	3	4	6	31
CLC 050 - Contracting with Canada	13	6	4	7	0	1	31
CLC 060 - Time and Materials	9	3	7	7	4	0	30

Please indicate the applicability of the following DAU courses (or equivalents) to your current position. If you have not taken the course, please answer N/A.

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
Contracts							
CLC 104 - Analyzing Profit or Fee	9	3	6	8	3	2	31
CLC 109 - Strategic Sourcing Overview	11	5	8	5	1	0	30
CLC 110 - Spend Analysis Strategies	12	5	9	4	1	0	31
CLC 125 - Berry Amendment	13	4	7	6	0	0	30
CLC 131 - Commercial Item Pricing	9	3	6	8	4	1	31
CLC 132 - Organizational Conflicts of Interest	12	4	6	2	2	4	30
CLE 004 - Intra-Governmental Transactions	13	3	7	5	2	1	31
CLM 013 - Work-Breakdown Structure	13	4	6	4	3	1	31
CLM 031 - Improved Statement of Work	13	3	5	5	3	2	31
CLM 040 - Proper Financial Accounting Treatments for Military Equipment	11	4	6	6	3	0	30
CON 234 - Joint Contingency Contracting	11	2	8	4	3	3	31
CON 235 - Advanced Contract Pricing	6	2	6	5	6	6	31
CON 237 - Simplified Acquisition	5	3	7	6	6	4	31

Please indicate the applicability of the following DAU courses (or equivalents) to your current position. If you have not taken the course, please answer N/A.

Answer Options	N/A	Very Unimportant	Somewhat Unimportant	Neutral	Somewhat Important	Very Important	Response Count
Procedures CON 250 - Fundamentals of Cost Accounting Standards-Part I	10	2	7	8	2	2	31
CON 251 - Fundamentals of Cost Accounting Standards-Part II	10	2	7	8	3	1	31
CON 260 A&B - The Small Business Program	12	4	5	8	2	0	31
HBS 221 - Negotiating	12	3	5	4	5	2	31
<i>answered question</i>							31
<i>skipped question</i>							4

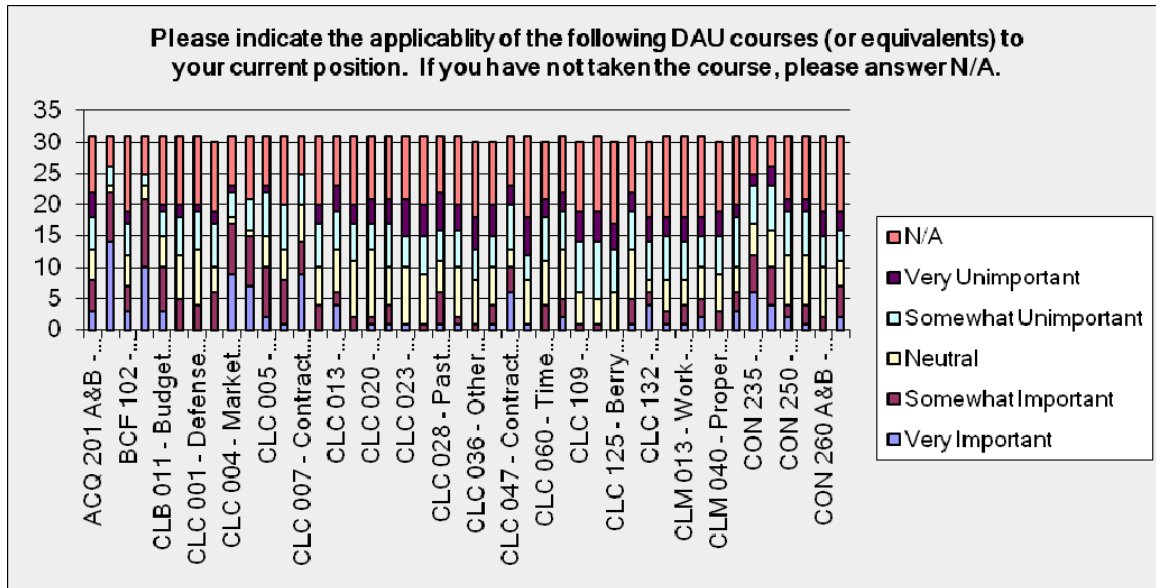


Figure 27. Graphic Representation of Question 18 Responses

Question 19

Is an interview required for warranting within your organization? (Please check all that apply)

Answer Options	Response Percent	Response Count
An interview is not required	53.3%	16
An interview by the immediate supervisor is required	40.0%	12
An interview by the division chief is required	10.0%	3
An interview by the Director of Contracting is required	0.0%	0
An interview by the Headquarters is required	0.0%	0
answered question		30
skipped question		5

Question 20

Is an examination required for warranting within your organization? (Please check all that apply)		
Answer Options	Response Percent	Response Count
No, no examination is required	100.0%	30
Yes, an oral examination is required	0.0%	0
Yes, a written examination is required	0.0%	0
<i>answered question</i>		30
<i>skipped question</i>		5

Question 21

Did you "inherit" your warrant by virtue of the position you now hold?		
Answer Options	Response Percent	Response Count
Yes	23.3%	7
No	73.3%	22
Not Applicable	3.3%	1
<i>answered question</i>		30
<i>skipped question</i>		5

Question 22

What was your experience level when you were selected for your warrant or position?		
Answer Options	Response Percent	Response Count
2 years or less	3.3%	1
2 - 4 years	6.7%	2
4 - 6 years	26.7%	8
6 - 10 years	43.3%	13
More than 10 years	20.0%	6
<i>answered question</i>		30
<i>skipped question</i>		5

Question 23

What was your educational level when you received your current warrant or position?		
Answer Options	Response Percent	Response Count
Associate Degree	3.4%	1
bachelor's Degree	13.8%	4
master's Degree	79.3%	23
Beyond master's Degree	3.4%	1
<i>answered question</i>		29
<i>skipped question</i>		6

Question 24

What was the "primary" selection criterion for the warrant?		
Answer Options	Response Percent	Response Count
Interview	22.2%	6
Oral Examination	0.0%	0
Written Examination	0.0%	0
Experience	66.7%	18
Other (explain below)	11.1%	3
Other (please specify)		5
<i>answered question</i>		27
<i>skipped question</i>		8

Number	Response Date	Other (please specify)	Categories
1	Nov 19, 2010 3:10 PM	Business acumen- good decision making	
2	Nov 23, 2010 4:09 AM	Experience and quality of work	
3	Nov 23, 2010 6:40 PM	experience	
4	Nov 28, 2010 1:56 AM	Position in organization	
5	Nov 29, 2010 7:18 AM	COMFISCS seems to warrant everybody	

Question 25

At the time of your selection, did you feel you were qualified to hold the position?		
Answer Options	Response Percent	Response Count
Yes	86.7%	26
No, please explain below	13.3%	4
Other (please specify)		5
<i>answered question</i>		30
<i>skipped question</i>		5

N u m b e r	Res pons e Date	Other (please specify)	Categories
1	Nov 22, 2010 7:39 PM	At the time, I can honestly say "No"; however, in having to review procurement documents I realize that I know more than I thought. Plus after several discussions with my Branch Head and other Level III Unlimited Warranted Contracting Officers, you come to realize that it's a constant learning experience. There will be times that you plateau and there will be times when you need to research and check with your peers for guidance and information.	
2	Dec 3, 2010 6:24 AM	Honestly, I had no clue what I was doing but fortunately I had great peers who have a lot of experience to mentor me as needed	
3	Dec 3, 2010 6:33 AM	I've been doing contracting for a lot of years. However, when I first received my first warrant I was completely unaware and under qualified. I had all the education and DAWIA requirements met but had never officially managed a contract.	
4	Dec 3, 2010 7:10 AM	I probably could have used a bit more experience	
5	Dec 3, 2010 7:40 AM	I only had educational DAWIA requirements complete	

Question 26

How important is EXPERIENCE as a qualification criterion for selection of Warranted Contracting Officer?

Answer Options	Response Percent	Response Count
Not important at all	0.0%	0
Limited importance	0.0%	0
Important	3.3%	1
Very Important	33.3%	10
Mandatory	63.3%	19
<i>answered question</i>		30
<i>skipped question</i>		5

Question 27

What should be the minimum number of years of contracting experience required before being selected as a Contracting Officer?

Answer Options	Response Percent	Response Count
2 years or less	3.6%	1
2 - 4 years	21.4%	6
4 - 6 years	60.7%	17
6 - 10 years	14.3%	4
More than 10 years	0.0%	0
<i>answered question</i>		28
<i>skipped question</i>		7

Question 28

How important is undergraduate study, in business or contracting related course work, as a factor in selecting contracting officers?

Answer Options	Response Percent	Response Count
Not important at all	10.0%	3
Limited importance	66.7%	20
Important	16.7%	5
Very Important	6.7%	2
Mandatory	0.0%	0
<i>answered question</i>		30
<i>skipped question</i>		5

Question 29

How important is graduate study, in business or contracting related course work, as a factor for selecting contracting officers?

Answer Options	Response Percent	Response Count
Not important at all	10.3%	3
Limited importance	27.6%	8
Important	37.9%	11
Very Important	20.7%	6
Mandatory	3.4%	1
<i>answered question</i>		29
<i>skipped question</i>		6

Question 30

How important are written EXAMINATIONS as qualification criteria for selecting contracting officers?

Answer Options	Response Percent	Response Count
Not important at all	25.9%	7
Limited importance	63.0%	17
Important	7.4%	2
Very Important	0.0%	0
Mandatory	3.7%	1
<i>answered question</i>		27
<i>skipped question</i>		8

Question 31

Is successful completion of a written examination as important as a qualification requirement when selecting a contracting officer?

Answer Options	Response Percent	Response Count
Not important at all	25.0%	7
Limited importance	53.6%	15
Important	17.9%	5
Very Important	0.0%	0
Mandatory	3.6%	1
<i>answered question</i>		28
<i>skipped question</i>		7

Question 32

How important is TRAINING as a qualification criterion for selecting contracting officers?

Answer Options	Response Percent	Response Count
Not important at all	0.0%	0
Limited importance	13.3%	4
Important	13.3%	4
Very Important	33.3%	10
Mandatory	40.0%	12
<i>answered question</i>		30
<i>skipped question</i>		5

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